INSTITUTIONS OF HIGHER EDUCATION CONTINUITY OF OPERATIONS (COOP) PLANNING MANUAL

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VDEM would like to thank the College and University COOP Subcommittee for devoting considerable time and expertise to this effort. The Planning Manual and Templates were written in collaboration with the members of the Subcommittee:

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FOREWORD

The "Commonwealth of Virginia Emergency Services and Disaster Laws of 2000" (§ 44-146.13 to 4-146.29:2 of the Code of Virginia) mandate certain levels of preparedness for colleges and universities.

Statute § 44-146.18 establishes the Virginia Department of Emergency Management (VDEM) as the agency responsible for administration and oversight of the preparedness efforts of all government entities in the Commonwealth. These authorities grant VDEM broad administrative powers and charge VDEM with a range of responsibilities including providing guidance and assistance to state agencies, institutions and units of local government in developing and maintaining emergency management and Continuity of Operations (COOP) programs, plans and systems.

Public colleges and universities are subject to the provisions of Executive Order 44, which directs "all executive branch agencies, including institutions of higher education, to include emergency preparedness planning, training and promotion as a core component of their mission." And further, to "create or update Continuity of Operations Plans to conform to the template produced by VDEM, and utilize the resources available from VDEM for creating or updating Continuity of Operations Plans."

The objective of COOP planning is to ensure the continued performance of essential functions can be performed during a wide range of potential events–the process of maintaining the "business" of a college or university.

This manual was developed to provide guidance to colleges and universities in the development and maintenance of COOP plans. It is intended to offer both procedural and operational guidance for the preparation and implementation of a COOP plan. The manual reflects Federal Emergency Management Agency (FEMA) Guidelines, Federal Continuity Directives 1 (FCD1), Emergency Management Accreditation Program (EMAP) and National Fire Protection Agency (NFPA) 1600 standards, VDEM standards and best practices.

The main tools to be used in this development are the COOP plan templates and worksheets (see Annex B, Worksheets), which coincide with the seven phases of the planning process detailed in this manual. Although completing the worksheets is not required, they can assist in assembling the information necessary to develop a COOP plan. Because institutions have different missions and unique characteristics, each COOP plan developed from this manual should address their specific needs. Merely filling in the blanks on the worksheets is not a substitute for a plan that enables continued operation in the event of a disruption.

In the early stages of planning, the COOP Team should decide on the structure of the institution's COOP program and plans. Alternatives are a single comprehensive plan, or a basic plan that provides overall guidance and structure, with a series of divisional or departmental plans that address the specific needs of functional areas. The strategy decided on depends on the size and structure of the college or university, the complexity of its mission and available resources for planning. For example, a small college or university with fewer organizational units, or no dependent student population, may opt for a single comprehensive plan. A college or university with many units may develop a plan that addresses each area separately. The latter COOP plan would include a basic plan of institution-wide structure and guidance, with departmental or divisional plans attached as appendices.

The basic plan template provides the format and outlines the contents of the COOP Basic Plan. The Department Plan template provides the structure for a department or division plan, which typically does not duplicate the organization-wide considerations of the Basic Plan. The Comprehensive Plan template incorporates elements from both the basic and department templates. These templates, in conjunction with the information gathered in the worksheets, will assist in completing cohesive and comprehensive COOP plan(s) to meet each institution's needs.

If you have any questions please contact VDEM for assistance.

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COOP Planning Manual
For Institutions of Higher Education

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ACRONYMS AND DEFINITIONS

Acronyms

AAR   After Action Report

COG   Continuity of Government

COOP   Continuity of Operations

DHS   U.S. Department of Homeland Security

DRT   Disaster Recovery Team

EAS   Emergency Alert System

ECO   Emergency Coordination Officer

EMAC   Emergency Management Assistance Compact

EMAP   Emergency Management Accreditation Program

FEMA   Federal Emergency Management Agency

GIS   Geographic Information System

HSEEP   Homeland Security Exercise and Evaluation Program

ICS   Incident Command System

ITDR   Information Technology Disaster Recovery

MOU   Memorandum of Understanding

NIMS   National Incident Management System

NWS   National Weather Service

OCP   Office of Commonwealth Prepardness

SMA   Statewide Mutual Aid

VDEM   Virginia Department of Emergency Management

VERT   Virginia Emergency Response Team

Definitions

Activation – When all or a portion of the COOP plan has been put into motion.

Alternate Facility Location – A location, other than the normal facility, used to process data and/or conduct essential functions during an event. Similar Terms: Alternate Processing Facility, Alternate Office Facility, and Alternate Communications Facility.

Business Impact Analysis – The process of determining the potential consequences of a disruption or degradation of business functions.

Cold Site – An alternate site that is reserved for emergency use, but which requires the installation of equipment before it can support operations. Equipment and resources must be installed in such a facility to duplicate the essential business functions of an organization. Cold

sites have many variations depending on their communication facilities, UPS systems, or mobility.

Continuity of Government (COG) - Preservation of the institution of government. Maintaining leadership, through succession of leadership, delegation of authority and active command and control.

Continuity of Operations (COOP) – The effort to assure that the capability exists to continue essential functions across a wide range of potential emergencies.

Continuity of Operations (COOP) Coordinator – Serves as the institution's manager for all COOP activities. The Coordinator has overall responsibility for developing, coordinating and managing all activities required for the institution to perform its essential functions during an emergency or other situation that would disrupt normal operations. The first step in the COOP planning process is selecting a COOP Coordinator.

Continuity of Operations (COOP) Plan – A set of documented procedures developed to provide for the continuance of essential business functions during an emergency.

Delegations of Authority – Pre-delegated authorities for making policy determinations and decisions at headquarters, field levels and other organizational locations, as appropriate.

Devolution – The capability to transfer statutory authority and responsibility for essential functions from an institution's primary faculty, staff and facilities to alternate faculty, staff and facilities and to sustain that operational capability for an extended period.

Emergency Coordination Officer (ECO) – Serves as the communication liaison between the Office of Commonwealth Preparedness, VDEM and each institution. Pursuant to Executive Order 65 (2004), the ECO is assigned the following responsibilities which may have been delegated to others within the institution:

1. Coordinate with the Department of Emergency Management on emergency preparedness, response, and recovery issues;

2. Prepare and maintain designated parts of the COOP plan for which the institution is responsible;

3. Prepare and maintain internal plans and procedures to fulfill the responsibilities designated in the plan;

4. Maintain a roster of institution's faculty and staff to assist in disaster operations and ensure that persons on the roster are accessible and available for training, exercises and activations of the plan;

5. Coordinate appropriate training for institution's faculty and staff assigned to disaster operations;

6. Prepare and maintain internal emergency preparedness, response, and recovery plans for the institution's resources (facilities, faculty, staff and assets) that outline a comprehensive and effective program to ensure continuity of essential state functions under all circumstances;

7. Assure the State Coordinator of Emergency Management that preparedness plans for its facilities are coordinated with the applicable local emergency management agency.

Emergency Preparedness – The discipline which ensures an organization or community's readiness to respond to an emergency in a coordinated, timely and effective manner.

Essential Functions – Activities, processes or functions which could not be interrupted or unavailable for several days without significantly jeopardizing the operation of an organization.

Emergency Management Assistance Compact – A congressionally ratified organization that provides form and structure to interstate mutual aid. During a disaster, it allows a state to request and receive assistance from other member states.

Essential Personnel – Personnel designated by their division as critical to the resumption of essential functions and services.

Facility – A location containing the equipment, supplies, and voice and data communication lines to conduct transactions required to conduct business under normal conditions.

Homeland Security Exercise and Evaluation Program (HSEEP) – A threat and performance-based exercise program, developed by DHS, that provides doctrine and policy for planning, conducting and evaluating exercises. It was developed to enhance and assess terrorism prevention, response and recovery capabilities at the federal, state and local levels.

Hot Site – An alternate facility that has the equipment and resources to recover the business functions affected by an event. Hot Sites may vary in type of facilities offered (such as data processing, communication or any other essential business functions needing duplication). Location and size of the Hot Site will be proportional to the equipment and resources needed. It is a fully-equipped facility, which includes stand-by computer equipment, environmental systems, communications capabilities and other equipment necessary to fully support an institution's immediate work and data processing requirements during an event.

Implementation Procedures Checklist – A list of the immediate actions to take once the COOP plan is implemented.

Incident Command System (ICS) – A management system used to organize emergency response. ICS offers a scalable response to an incident of any magnitude and provides a common framework within which people can work together. These resources may be drawn from multiple agencies that do not routinely work together. The system is designed to grow and shrink along with the incident, allowing more resources to be smoothly added into the system when needed and released when no longer needed. The key aspect of ICS helps to reduce or eliminate the "who's in charge" problem.

National Incident Management System (NIMS) – A consistent nationwide template to enable federal, state, local, tribal governments, private-sector and nongovernmental organizations to work together effectively and efficiently to prepare for, prevent, respond to and recover from domestic incidents, regardless of cause, size or complexity, including acts of catastrophic terrorism.

Orders of Succession – A formula that specifies by position who will automatically fill a position once it is vacated.

Reconstitution – The process by which institution personnel resume normal business operations from the original or alternate facility location.

Record Retention – Storage of historical documentation for a set period of time, usually mandated by state or federal law or by the Internal Revenue Service.

Recovery – Recovery, in this document, includes all types of emergency actions dedicated to the continued protection of the public or to promote the resumption of normal activities in the affected area.

Recovery Time Objective (RTO) – The period of time in which systems, applications or functions must be recovered after an outage.

Response – Those activities and programs designed to address the immediate and short-term effects of the onset of an event.

Risk – An ongoing or impending concern that has a significant probability of adversely affecting business continuity.

Risk Assessment or Analysis – An evaluation of the probability that certain disruptions will occur and the controls to reduce organizational exposure to such risk.

Risk Management – The discipline which ensures that an institution does not assume an unacceptable level of risk.

Statewide Mutual Aid – A program developed to assist localities to more effectively and efficiently exchange services and resources in response to declared disasters and emergencies. SMA is a local government program established in partnership with the Commonwealth of Virginia. The program provides a framework for resolution of some inter-jurisdictional issues and for reimbursement for the cost of services.

Test Plan – The recovery plans and procedures that are used in a systems test to ensure viability. A test plan is designed to exercise specific action tasks and procedures that would be encountered in a real disaster.

Vital Records, Systems and Equipment – Records, files, documents or databases, which, if damaged or destroyed, would cause considerable inconvenience or require replacement or re-creation at considerable expense. For legal, regulatory or operational reasons these records cannot be irretrievably lost or damaged without materially impairing the organization's ability to conduct business.

Vulnerability – The susceptibility of a division to a hazard. The degree of vulnerability to a hazard depends upon its risk and consequences.

Warm Site – An alternate processing site which is only partially equipped.

DEFINITION OF PLAN TYPES

Emergency Operations Plans (EOPs) – EOPs are critical to assuring an integrated response among multiple agencies, public and private, from within a community, and outside the area. EOPs should describe the principles, policies, authorities, concepts of operations, legal constraints, responsibilities and emergency functions to be performed when carrying out emergency operations and rendering mutual aid during emergencies. EOPs may include annexes on emergency functions of the institution, mobilization of resources and public information.

Occupant Emergency Plans (OEPs) – OEPs are plans that address how students, faculty and staff can be evacuated from their work areas and buildings to a safe location. OEPs are an essential part of an emergency management program.

Hazard Mitigation Plan – A hazard mitigation plan identifies policies, activities and tools needed to implement mitigation actions. Mitigation is defined as any sustained action taken to reduce or eliminate long-term risks to life and property from any and all hazard events.

Information Technology Disaster Recovery (ITDR) Plan – ITDR plans provide for the continuity, restoration and recovery of critical computer data, systems and services.

RISK AND VULNERABILITY ASSESSMENT AND MITIGATION STRATEGIES

If the institution has not already completed a business impact analysis (BIA) and risk and vulnerability assessment, this process should be done prior to developing a COOP plan. A properly completed BIA ensures that an institution knows the consequences of a disruption or degradation to its business functions. Risk is the potential for exposure to loss, which is determined by using qualitative and quantitative measures. Vulnerability is a weakness that can subject the organization to a risk, or worsen its impact. Identifying and assessing the vulnerabilities of an institution, and the risks it faces, helps to ensure the most likely risks, with the greatest potential impacts, are considered. These risks can then be mitigated against and planned for. While, the risk and vulnerability assessment documents help to prioritize the vulnerabilities and risks faced by an institution, a BIA helps identify an institution's essential functions.

In collaboration with VITA, VDEM posted a sample BIA Template online with the COOP Toolkit. The template is an optional tool to assist institutions in performing a Business Impact Analysis (BIA). This template serves as a comprehensive resource, allowing institutions to fully assess the business impact on each process for any type of situation. It focuses on the loss of that function and the related impact rather than specific emergency events. The template is designed to be used once institutions have compiled a listing of all of their business functions. Each function then is analyzed and the results recorded. The weights of the risk factors and the organizational nomenclature can be modified by the institution to meet to the individual institution's structures. When all business functions have been analyzed the overall results are then entered into the BIA Overall Template to project an overview of the impact of all functions. The COOP team should then meet to normalize the results and provide consistency. Once final, the COOP team must decide where to draw the line to designate which functions are essential. These essential functions will serve as the basis for the COOP Worksheets found in Appendix A of this manual.

Institution personnel who perform essential functions should be familiar with the risks and vulnerabilities of their department processes and facilities, and recognize how those risks could affect their essential functions. Knowledge of potential risks and vulnerabilities gives them the opportunity to consider possible mitigation strategies that could be used to alleviate some or all of the risks. For example, assessing a facility's location and realizing that an essential piece of information technology hardware, like a server, is located in the basement that has the potential to flood is a risk that needs to be addressed. The mitigation strategy may be to relocate the equipment or elevate it so it is not at risk for flooding.

Risk mitigation strategies are developed to address institution, facility and function-based risks. Examples include:

- **Institution risk.** Severe storms may have campus-wide impacts. Are there enough staff and resources to respond effectively?

- **Facility risk.** Facility risks could include a building whose basement contains vital records. If the basement is prone to flooding, are the vital records protected or elevated? Or should they be moved?

- **Function risk.** This addresses a risk to an essential function that the institution provides. One example would include a lack of cross-training or back-up personnel for an essential function, such as payroll. If the one person who does payroll is unavailable or could not get to work, could someone else perform the function?

Whether or not the institution develops a single plan, or a basic plan with department plans, strategies to mitigate these risks should be considered. Institution and facility mitigations can be included in the basic or comprehensive plan, with function-based risks included in department plans or an appendix in the comprehensive plan.

The Executive Steering Committee, COOP Team and department leadership will use the information regarding risks to its operations and facilities to make strategic management decisions that will reduce or eliminate risk. Reduction or elimination of risks to an institution's facilities or operations also will substantially reduce risk to faculty and staff.

If a risk assessment has not been completed previously, **Worksheet #13** can assist in identifying risks for each functional area or department that could impact its ability to continue essential functions. **Worksheet #14** can assist in identifying the facility risks that may jeopardize essential functions. After identifying each risk, mitigation strategies can be developed and implemented to reduce exposure to known hazards.

The COOP Team and institution leadership can also use the information gathered from their BIA and COOP Worksheets in completing an IT Disaster Recovery (ITDR) Plan. VITA has specific guidelines available online for institutions to use.

Risk Management Guideline:
http://www.vita.virginia.gov/uploadedFiles/Library/RiskManagementGuideline.pdf

IT Risk Assessment:
http://www.vita.virginia.gov/uploadedFiles/Library/RiskAssessmentInstructions12142006.pdf

IT Risk Assessment Report Template:
http://www.vita.virginia.gov/uploadedFiles/Library/RiskAssessmentReportTemplate.doc

INTRODUCTION TO CONTINUITY OF OPERATIONS PLANNING

Colleges and universities have grown increasingly aware of how all types of events can disrupt their operations and jeopardize the safety of their students, faculty, staff and visitors. Emergency planning, including Continuity of Operations (COOP) planning, has become a necessary and required process for all colleges and universities. COOP planning is the start of a long-term program to help an institution maintain or recover its ability to provide essential services to its students, faculty and staff during an event. The COOP plan is designed to address the following scenarios:

- Loss of access to a facility (as in a fire), forcing relocation to an alternate facility;

- Loss of services due to a reduction in workforce (as in pandemic influenza); and

- Loss of services due to equipment or system failure (as in information technology (IT) or telecommunications disruption).

Although planning for catastrophes is important, equally important is preparing for events more likely to occur. For example, the probability is much higher that a campus will face impacts caused by fire, high winds or flooding than by a catastrophic event. Even more frequent are relatively minor emergencies caused by electrical storms, heavy rains and snow or ice storms that can still interrupt operations. Lack of preparation for common hazards can quickly worsen their impacts, escalating danger and damage to people and facilities. While threats vary, clearly, the better prepared an institution is, the more effective its ability to ensure safety and continue operations, regardless of the event.

COOP Planning Objectives

Federal Continuity Directive 1 (FCD 1) outlines objectives of a continuity plan. These objectives have been modified to fit the needs of institutions and adopted by VDEM as a best practice.

- Ensuring that an agency can perform its essential functions under all conditions.

- Reducing the loss of life and minimizing property damage and loss.

- Executing successful order of succession with accompanying delegation of authorities in the event a disruption renders agency leadership and key personnel unavailable or incapable of assuming or performing their responsibilities.

- Reducing or mitigating disruptions to operations.

- Ensuring that an agency has facilities where it can continue to perform its essential functions during a continuity event.

- Protecting personnel, facilities, equipment, records and other assets in the event of a disruption.

- Achieving a timely and orderly recovery and reconstitution from an emergency.

- Ensuring and validating continuity readiness through a dynamic and integrated continuity test, training and exercise program and operational capability.

COOP Planning Considerations

While Federal Preparedness Circular (FPC) - 65 was superseded by FCD 1 it outlined planning considerations and requirements for federal agency COOP plans. These considerations and requirements are still valid and VDEM still recognizes them as best practices. All institutions are expected to adhere to these considerations when developing COOP plans as required by Executive Order 44 (2007).

- Be capable of implementing their COOP plans with or without warning;
- Be operational no later than 12 hours after implementation;
- Be capable of performing essential functions for up to 30 days;
- Develop training, testing and exercise schedules for personnel, equipment, systems, processes and procedures utilized during COOP plan implementation;
- Provide for a regular risk analysis of current alternate facilities;
- Locate alternate facilities in areas where the ability to initiate, maintain and terminate COOP is optimal; and
- Develop a multi-year strategy and program management plan.

COOP Planning Involvement

Effective COOP planning is an institutional function. Teams should be composed of individuals throughout the institution who understand and can represent the many functional areas that make up a college or university. The activities of a team also help build support and buy-in for planning efforts. Responsibility does not lie with a single department or individual, but with faculty and staff at every level within the school community, including:

- Executive Steering Committee;
- Senior Leadership (e.g., Academic, Administration and Department Heads);
- COOP Coordinator;
- COOP Team;
- Campus Safety (e.g., Campus Police);
- Emergency Management from neighboring jurisdictions; and
- Virginia Department of Emergency Management.

COOP Executive Steering Committee

The Executive Steering Team consists of executive-level staff, including positions such as the President, Chancellor, Vice President or Provost, who have the authority to make institution-wide decisions and provide necessary funding for COOP planning.

The Steering Committee addresses overarching issues, such as:

- Reviewing the institution's existing risk analysis and other relevant analyses or plans;
- Protecting the institution's assets and infrastructure;

- Developing alternate facility location strategies and site assignments;

- Resolving resource conflicts between organizational units;

- Mandating faculty and staff policies to facilitate COOP plan implementation;

- Prioritizing essential functions across the entire institution; and

- Issuing communications policies, including:

  - Alerting students, faculty and staff; and

  - Communicating with the public and media.

COOP Team

The COOP Team includes academic and department- or division-level management who understand the internal operations or "business" of the institution and have authority in the functional areas they represent.

The COOP Team is more directly involved with daily operations, including strategies and tactics to implement COOP as an integral part of the day-to-day functions of the institution. "Back office" areas as well as instructional departments, health services and other unique functional groups should all be included in the planning process.

The role of the COOP Team includes:

- Developing a mission statement for the team and program;

- Establishing a schedule of ongoing team meetings;

- Establishing COOP program objectives;

- Creating a planning schedule and milestones for developing COOP capabilities and obtaining plan approval;

- Establishing a review and maintenance cycle;

- Establishing a testing and exercise cycle;

- Identifying department-specific management and policy issues and potential solutions;

- Identifying institution-wide issues and proposed recommendations for the Steering Team's consideration; and

- Advocating for adequate funding to accomplish the institution's COOP strategy.

COOP Program Organization

While the COOP plan serves as the guide during implementation and recovery, the COOP program is the framework and guidance that makes COOP planning an ongoing activity for the institution. The structure of the program creates specific roles, responsibilities and accountabilities for plan development, maintenance and execution. It fosters COOP planning as a part of day-to-day operations through:

Program administration, including:

- Designating a program manager or coordinator;

- Establishing goals, objectives and evaluation standards; and
- Developing procedures and planning schedules, including milestones and deliverables.

Program elements, including:

- Performing risk assessments;
- Developing incident prevention and mitigation strategies;
- Establishing resource management and logistics processes; and
- Determining needs and opportunities for mutual aid or other assistance.

Elements of a COOP Plan

A viable COOP plan consists of ten critical elements:

- Essential Functions;
- Orders of Succession;
- Delegations of Authority;
- Alternate Facilities;
- Interoperable Communications;
- Vital Records, Systems and Equipment;
- Human Capital Management;
- Training, Testing and Exercises;
- Devolution; and
- Reconstitution.

These elements are intertwined and dependent upon one another. They enable a plan to be effectively implemented during an emergency. When properly identified, the COOP elements also allow for a seamless transition back to normal operations at the primary facility.

Creating a COOP Plan

The COOP planning process consists of seven different phases:

I.   Project Initiation;
II.   Identification of Functional Requirements;
III. Design and Development;
IV.   Publication and Dissemination;
V.   Training, Testing and Exercises;
VI.   Implementation; and
VII. Maintenance.

Each process consists of a set of tasks that must be performed to develop an effective COOP plan.

Table 1
COOP Planning Phase Specific Tasks

	Phase-Specific Tasks
I. Project Initiation	- Appoint a COOP Coordinator - Organize a COOP Executive Steering committee - Organize a COOP Team - Conduct an initial project meeting
II. Identification of Functional Requirements	- Identify Essential Functions - Identify Vital Records, Systems and Equipment - Identify Essential Personnel - Establish Orders of Succession - Establish Delegations of Authority - Select an Alternate Facility - Identify Interoperable Communications
III. Design and Development	- Define COOP Document Scope - Enter gathered data into COOP Templates
IV. Publication and Dissemination	- Publish the plan - Present the plan to the institution - Educate faculty and staff on their roles and responsibilities associated with COOP plan implementation
V. Training, Testing and Exercises	- Assess and validate COOP plans, policies and procedures - Ensure that faculty and staff are familiar with COOP procedures - Conduct periodic COOP exercises - Ensure that COOP personnel are sufficiently trained to carry out essential functions during COOP plan activation - Implement After Action Reports
VI. Implementation	- Outline an executive decision process - Determine activation and relocation, alternate facility operations and reconstitution procedures - Create checklists for COOP plan implementation
VII. Maintenance	- Institute multi-year program management for COOP - Ensure plan is maintained and updated

PHASE I - PROJECT INITIATION

Project initiation includes the first steps required to establish a COOP program. A COOP program guides the institution's COOP planning efforts. It is the infrastructure that ensures effective planning is a consistent and ongoing part of the institution. For institutions without a COOP program, this section is intended to guide them through the process of establishing the key components to build one. At institutions with an existing program, these activities have probably already been performed and do not necessarily apply. If a review of the existing COOP program identifies some possible improvements or missing components, selected activities in this phase may be helpful.

The project initiation phase consists of the following:

- Appointing a COOP Coordinator;

- Organizing a COOP Executive Steering Committee;

- Organizing a COOP Team;

- Identifying and reviewing current planning documents;

- Identifying staff hours and budget; and

- Conducting an initial project meeting.

Appointing a COOP Coordinator

The first step in the COOP planning process is selecting a COOP Coordinator. Although the head of the college or university may act as the COOP Coordinator, it is often best for that person to designate another individual who can devote the necessary time to the project.

The COOP Coordinator should be someone who is familiar with federal, state and local emergency management practices, and the hazards faced by the campus. It is helpful but not always necessary that this person also be someone with the authority to develop, implement and exercise plans. The COOP Coordinator should have good leadership and communications skills and be capable of building consensus and support for the program. Responsibilities of the COOP Coordinator include:

- Developing short- and long-term goals and objectives;

- Assisting in the identification of planning team members;

- Creating a blueprint for developing the COOP program;

- Identifying and assisting in resolving issues related to COOP plan development, activation, implementation and reconstitution;

- Developing criteria for measuring and evaluating COOP performance;

- Acting as a liaison between the COOP Team and university leadership, including the Executive Steering Committee, as well as external organizations; and

- Serving as leader of the COOP Team.

Organizing a COOP Executive Steering Committee

The COOP Executive Steering Committee is composed of senior leadership. Some of their responsibilities include:

- Setting institution-wide policy;
- Providing budgetary support to COOP planning efforts;
- Resolving issues and conflicts escalated from the COOP Team; and
- Acting on or authorizing COOP Team recommendations.

The COOP Executive Steering Team is an integral component to overall COOP planning. Without the vision, leadership and guidance of this team, the COOP program may not be sustainable.

As mentioned previously, the Executive Steering Committee addresses overarching issues, such as:

- Prioritizing and implementing risk mitigation strategies;
- Developing alternate facility location strategies and site assignments;
- Resolving resource conflicts among departments;
- Mandating personnel policies to facilitate COOP plan implementation;
- Prioritizing essential functions across the entire institution;
- Issuing communications policies, including:
  - Alerting students, faculty and staff; and
  - Communicating with the public and media.

Thus, securing support from the Executive Steering Team is key to establishing a successful COOP program at the institution. Sometimes there is confusion about the need for COOP planning and the role that the Executive Steering Team should play. It is important to remember that COOP planning will help Senior Leadership to:

- Protect students, faculty and staff;
- Protect the institution's reputation;
- Preserve and protect academic research; and
- Protect the institution's facilities and assets.

COOP planning details alert and notification procedures so students, faculty and staff, whether during business or off hours, are alerted to an event and know how to proceed. When an institution can respond successfully and continue its essential functions, it better maintains its reputation by ensuring the institution is perceived as prepared and efficient.

Ask executives who lead the areas representing Academic Affairs, Finance, Student Affairs, Public Safety, Dining, Human Resources and Facilities to be members. Functions that may be unique to some institutions, such as medical centers, teaching hospitals or specialized instruction should especially be represented. Their needs and perspectives are not likely to be similar to other departments. Key questions to consider at the first meeting are:

- What would happen if 40 percent of the workforce could not work because of a pandemic influenza situation? Would there be enough trained back-up personnel to continue essential functions?

- If there was a fire tomorrow and you could not access your office for two months, would you still be able to continue the essential functions of the department?

- If the IT infrastructure of the institution should go down because of hackers, would the institution have the means to get up and running quickly (in less than 12 hours)?

Providing the background on COOP planning and posing questions like these will enable the Executive Steering Team to realize the important roles and responsibilities they have.

Organizing a COOP Team

The COOP Team is composed of individuals from different divisions or departments within the college or university. The intent is to gather an appropriate balance between operational knowledge and authority within the functional areas represented by the members. The team typically consists of eight to 12 members; the actual number depends on the size of the institution and the variety of functions performed and services provided.

It is important to represent the full spectrum of services delivered by the institution. When organizing the COOP Team, colleges and universities should include departments that perform functions or provide services including (department names may vary):

- Campus Police;

- Environmental Health and Safety;

- Information Technology;

- Risk Management;

- Academic Colleges (e.g., Business, Arts and Sciences, Education, Health Sciences);

- Purchasing;

- Human Resources;

- Facilities or Maintenance;

- Housing and Residence Life;

- Dining Services;

- Health Services;

- Admissions; and

- Registrar.

Ensure groups who deliver specialized services or who require unique resources to support their functions are represented.

Identifying and Reviewing Current Planning Documents

The COOP Team should review existing plans to assist in the development and implementation of the COOP program. Some of the planning sources to consider are Emergency Operations Plans (EOPs); Occupant Emergency Plans (OEPs), the Hazard Mitigation Plan, and the Information Technology Disaster Recovery Plan. Definitions of all of these plan types can be found on page 5.

Although not all institutions will have or need all of these plans, any which exist may be good resources to consider. Assuming they have been kept current, the information gathered will be valuable in developing a COOP plan.

Identifying Staff Hours and Budget

Establishing COOP planning as an institutional priority is critical for the program's success. Planning efforts cannot be successful unless senior leadership establishes them as an important part of faculty and staff roles. Estimating required faculty and staff hours and funding for COOP planning will help incorporate these activities into the day-to-day operations of the institution.

Conducting an Initial Project Meeting

Once a COOP Team is selected, the COOP Coordinator needs to set up the initial project meeting. The project meeting should include the COOP Coordinator, members of the COOP Team and senior leadership if available.

The following topics should be covered during the first COOP Team meeting:

- COOP Team organization, including the team's mission statement;
- Roles and responsibilities of individual members and the team as a whole;
- Team meeting frequency and schedule;
- Definition of COOP Team objectives and deliverables to ensure that work undertaken is relevant to the requirements of the project;
- Project milestones to enable progress to be tracked against an approved schedule;
- Reporting process to be issued by the COOP Coordinator to senior leadership;
- Review and approval process; and
- Coordination with external response agencies.

Each institution also may choose to develop a cost-planning template so that costs associated with the COOP plan are identified at the beginning of the planning process. Descriptions should be sufficient to ensure that managers not involved with the project can understand the nature of the proposed expenditure.

It also may be necessary for the COOP Team to prepare a list of documents and information that are required to be shared with them during the planning process. Any documents that contain sensitive information should be treated accordingly with special care taken to ensure that the confidentiality is not compromised. Copies may be provided rather than originals.

PHASE II - FUNCTIONAL REQUIREMENTS FOR CONTINUITY OF OPERATIONS PLANNING

At the end of this phase, colleges and universities will be able to successfully identify the functional requirements for a COOP plan. The focus in Phase II is on identifying essential functions and the required resources needed to perform them. These resources include faculty, staff, facilities, equipment and records.

Gathering functional requirements for planning is a three-step approach:

- Identify essential functions;
- Prioritize essential functions; and
- Determine resource requirements for essential functions.

Essential Functions

Every institution provides a wide variety of services, and the task of determining those services that are essential during an emergency may be challenging. Throughout the planning phase, the COOP team will work with leaders to identify essential functions performed by each department. Essential functions may vary, especially depending on the presence of a dependent student population, but generally are those that:

- Provide the emergency priorities of shelter, food, safety and communications to students, faculty, staff and visitors;
- Maintain administrative priorities such as IT services, payroll, purchasing and fiscal operations;
- Protect the ability to perform the institution's educational mission;
- Protect research and other academic investments; and
- Protect the institution's facilities and assets.

In other words, essential functions are the institution's functions that must continue with no, or minimal, disruption.

In order to develop a successful COOP plan, an institution must first determine what its essential functions are. At the start of COOP planning, determining essential functions must be completed before moving to another phase. Essential functions are the building blocks in developing an effective COOP plan; information gathered from this point forward will be determined by identified functions.

Identify Essential Functions

The COOP Team typically identifies the criteria for selecting essential functions. For example, if other departments are dependent on a particular function to continue their operations, then the function is likely an essential function. The most straightforward way of identifying essential functions involves surveying representatives from each functional area. They provide the input on what processes must be performed. For instance, the Accounts Payable Manager understands what processes his or her area must perform, and which can be temporarily deferred – these are decisions he or she makes in the course of normal operations. He or she also can explain in

detail the Code of Virginia, Sections 2.2-4347 through 2.2-4356 and 2.2-5004 that mandate prompt repayment of vendors in a defined period of time.

COOP team members should consult individuals from each department or division of their institution to gain a better understanding of each function's day-to-day activities performed.

Assuming they are kept current, reviewing other emergency plans can help identify essential functions and their supporting processes.

Emergency Priority

An emergency priority is a function that helps meet the basic needs of students, faculty, staff and visitors. These include safety, food, water, shelter and medical care.

Examples include:

- Communications;
- Law enforcement;
- Physical plant or facilities (utilities, HVAC, water and sewage); and
- Medical services.

Academic Priority

The COOP plan identifies academic priorities as the functions that provide instruction and support the educational mission of the institution. These priorities relate to the development, maintenance and delivery of lecture and distance instruction.

Examples include:

- Classroom instruction;
- Distance instruction;
- Course content development and maintenance; and
- Student evaluation.

Administrative Priority

The COOP plan identifies administrative priorities as the functions that maintain the infrastructure of the institution and enable service delivery. These priorities relate to facilities and grounds, networks and IT systems, transportation and administrative leadership.

Examples include:

- Decision-making and leadership, both institution-wide and departmentally;
- Supporting IT systems and data networks;
- Performing purchasing and procurement functions; and
- Processing payroll.

Prioritize Essential Functions

To help prioritize functions, determine the Recovery Time Objective (RTO) for each function. The RTO is the maximum time period that a function or service can be interrupted, before it must be restored to an acceptable level of operation. When determining the RTO for an essential function, consider factors such as legal, regulatory, contractual or financial impacts of the outage. Loss of reputation, public confidence and other intangible factors also might need consideration.

Examples of essential functions with a short RTO include:

- Patrolling the campus and law enforcement;
- Maintaining the drinking water supply; and
- Providing electrical power.

Examples of supportive functions with a longer RTO include:

- Maintaining NCAA compliance;
- Performing capital improvements; and
- Administering the Honors program.

The COOP Team determines the sequence of essential function recovery for the institution primarily by using RTOs. Below are examples of RTOs for essential functions.

Tier I: 0 to 12 Hours – Immediate

An acceptable level of service must be restored within 12 hours. Examples include law enforcement, public and media communications, food service and sanitation.

Tier II: 12 to 72 hours - Necessary

Tier II functions must reach acceptable operation within 12 to 72 hours of activation. Examples may include residence life, maintenance and housekeeping.

Tier III: 72 hours to One Week - Important

Tier III functions support Tier I and II. It may not be necessary for Tier III operations to reach full operation within the first week following a disaster. Examples may include accounts receivable, classroom instruction and accounts payable.

Tier IV: One Week to 30 Days - Postponed

Tier IV are the functions that can be postponed until all functions in Tier I, II and III are fully operational. Examples may include processing applications for admissions, performing VA certification and managing SACS accreditation.

Tier V: 30 Days + - Extended

Tier V functions are those that can be postponed for more than 30 days, if necessary.

Table 2
Recovery Time Objective Matrix

Tier	Ratings	RTO
I	IMMEDIATE These functions directly affect the safety of students, faculty and staff or protect and preserve institutional assets.	0 to 12 hours
II	NECESSARY	12 to 72 hours
III	IMPORTANT	72 hours to One week
IV	POSTPONED These functions can be delayed until Tiers I, II and III are operational.	One week to 30 days
V	EXTENDED These functions can be suspended for 30 or more days.	30 days or more

Think about the operational dependence of other processes or services on those under consideration. If a function is necessary to keep another operating, then it may deserve a shorter RTO.

When organizing functions by tiers, also consider that some functions are more critical depending on timing. For example, if faculty and staff are paid bi-weekly on the 1st and 15th of each month and an event occurs on the 2nd, then payroll will not be immediately necessary. However if an event occurs on the 14th of the month, payroll will need to be reestablished within 24 hours. For functions with these time-sensitive characteristics, place them in a higher tier. If appropriate, due to the incident's timing, the function can be temporarily skipped during the recovery phase. **Worksheet# 1** can assist in identifying and prioritizing essential functions.

Once the department and COOP Team have established RTOs for each function, the Executive Steering Committee can prioritize all functions institution-wide.

Identify Vital Records, Systems and Equipment

In COOP planning, vital records, systems and equipment are critical in carrying out essential functions. Vital records are records that, if damaged or destroyed, would disrupt operations and information flow, and require replacement or re-creation at considerable expense or inconvenience. Content, not media, determines their criticality. Vital records are most frequently in one of three formats: paper; electronic; or microfilm. Some examples of vital records are:

- Personnel records;
- Students' records and transcripts;
- Faculty records;
- Research;

- System documentation;
- Operational procedures;
- Contracts;
- Insurance policies;
- Mutual aid agreements; and
- Administrative policies.

A COOP plan includes a system of protection and recovery of vital records for both emergencies and normal operations. Every college or university should have a vital records program. COOP planning for vital records includes: assessing any existing vital records program, then addressing its deficiencies; or, if no program exists, developing a program that provides for the effective protection, preservation and recovery of records.

There are two types of vital records for institutions to consider:

- **Static records** – Those that change little, or not at all, over time. An example of static records might be contracts or administrative policies.

- **Active records** – Those that change frequently with daily operations. Examples of active records include accounts receivable and payable and students' course grades.

Both types of records can be vital and should be preserved so that operations can be maintained or quickly resumed following an interruption.

Records management guidance that applies to public institutions in the Commonwealth is issued by The Library of Virginia. For more information refer to Records Retention and Disposition Schedule: General schedule No. 111, Colleges and Universities Records.

Vital Systems and Equipment

As with vital records, it is important to identify those systems and equipment that are essential to the functioning of the institution and the continuance of the institution's mission. Not every system or piece of equipment is vital. The timing of a system's or piece of equipment's use may also determine whether it is vital or not. For example, snowplows are vital during and immediately after a blizzard, but are not vital during the summer. After identification of critical systems and equipment, prioritize how systems and equipment should be recovered in the event of a disruption. When prioritizing, consider the critical processes and service that these systems support. Also, review any IT disaster recovery plan or EOP of the institution.

It is important to consider if a system or piece of equipment is dependent upon another particular system or piece of equipment to be operable. For example, computer systems are dependent upon electrical supply to be operable. Therefore, resumption of power would have to occur before the computer system could be up and running. As with critical processes and services, there might also be a calendar component. A disruption to the electronic tax return filing system would be a greater problem in April than in August.

Review the list of vital records, systems and equipment and assess the best method of protection. The assessment will depend on the nature of the records, system or equipment, but a protection plan for all should include maintenance programs that regularly test the associated protective

measures for optimal performance. For instance, backup power generators should be checked regularly.

Develop Safeguards for Vital Records

The development of a periodic review program will assist in the identification of new security issues (e.g., vital record or system access or development) and how to mitigate those issues. The program should:

- Address new security issues that have been identified;
- Identify additional vital records due to policy changes or new college or university programs;
- Update information within vital records as necessary;
- Assess vital systems and equipment;
- Detail maintenance programs; and
- Plan for faculty and staff training.

Vital Records Management

Institutions should have a vital records program in place. Annex I of FCD 1 identifies effective vital records program characteristics. For more information on vital records management an institution can also contact the Library of Virginia.

Worksheet #2 and **Worksheet #3** can assist in identifying vital records, equipment and systems and their protection methods.

Identify Essential Personnel

Specific staffing requirements vary widely among departments due to differences in their size, structure, mission and essential functions. Each essential function has associated essential personnel who are necessary to ensure continuity of operations. Essential personnel include both management and non-management positions.

There are several methods that can be used to identify essential personnel:

- Conduct interviews with faculty and staff to gain a solid understanding of their roles and responsibilities; or
- Use historical evidence to evaluate when functions were hindered due to an absence of certain faculty and staff during day-to-day or emergency activities.

Once essential personnel are identified, this information should be maintained along with the following:

- Who currently occupies the position?
- What are the work requirements for the position?

- What facility is the position located in?

Once essential personnel have been identified, the next step will be to determine the orders of succession. Orders of succession ensure that there are trained, back-up personnel to assume essential positions or leadership, if departmental or institution personnel are debilitated or unavailable to execute their duties during an event. Remember that personnel who currently perform supportive functions could be available to be back ups and assist in the continuation of essential functions.

Determine Orders of Succession

Orders of succession are provisions that are implemented when essential personnel are unable to execute their duties during an emergency. Departments must establish, communicate and maintain their orders of succession for key positions. This succession may be addressed through by-laws, codes, ordinances or internal policy. When considering succession, attempt to identify at least two successors to an incumbent. Although succession most frequently goes downward in the organizational hierarchy, it may be necessary or desirable to move upward instead; some positions may require successors from outside the immediate department or even the institution. There also may be situations in which it is necessary to assign successors from outside the geographic proximity.

Skill-sets for incumbent and successor should be matched as much as possible. Any cross-training needs should be considered and addressed when the succession is defined. Also consider the circumstances when succession would occur; decisiveness and calmness under pressure are both highly desirable. Examples of cross-training to be considered include:

- Timekeeping or payroll entry training;
- Software application training;
- Equipment training; and
- Department or function specific procedures.

Worksheet #4 can assist in designating orders of succession.

Identify Delegations of Authority

After identifying the essential personnel, determine which positions would assume the authority of a vacant position. Consider the qualifications necessary to perform the duties of the essential personnel as well as the successor positions.

Delegations of authority specify who is authorized to make decisions or act on behalf of key institution or department personnel. Delegation of authority planning involves the following steps:

- Identifying which authorities can, and should be, delegated;
- Describing the circumstances under which the delegation would be exercised, including when it would become effective and terminate;
- Identifying limitations of the delegation;
- Documenting to whom authority should be delegated; and

- Ensuring designees are trained to perform their emergency duties.

Delegations of authority are required by statute in some cases. Certain incumbents in positions specified in the orders of succession are delegated authority to perform all duties and responsibilities of the leader. Authority to act as a successor should be exercised only with reasonable certainty that a superior is unable and unavailable to exercise authority and when immediate action is required. An individual acting as successor should be relieved of his or her authority as soon as a superior on the list becomes available, is able and assumes the role of the successor. An individual exercising the authority of a superior should keep a record of important actions taken and the period during which the authority is exercised.

There are two types of authority that can be delegated:

- **Emergency Authority** – Ability to make decisions related to an emergency (i.e., COOP plan activation). Generally this type of authority last as long as the event exists.

- **Administrative Authority** – Ability to make decisions affecting operations beyond the duration of the event (e.g., hiring or firing or fiscal encumbrance).

Worksheet #5 can assist in documenting delegations of authority and any rules, procedures, or limitations governing their execution. **Worksheet #6** can assist in bringing information together on the resources needed to support essential functions, such as essential personnel, external contacts, vendors, equipment, systems and RTOs.

Select Alternate Facility

Some events may require essential personnel to relocate to an alternate facility. Relocation will allow personnel to continue to carry out their essential functions and provide support to staff, faculty, students and visitors.

When considering hazards, the greatest likelihood exists that a single building would be damaged or made unusable by a relatively common hazard such as fire, flood, or mold or asbestos contamination. One approach to managing smaller-scale relocations is to develop a matrix of the institution's buildings and their capacities and capabilities, so a suitable alternate facility can be quickly identified based on the building impacted. Consider usable space in offices, classrooms and conference rooms and also identify capacity for phone and network communications.

Also consider the potential for mobile structures to provide temporary classroom or office spaces. There are several types of alternate sites that possess different levels of capabilities.

Hot Site – A hot site is an alternate facility that already has in place the computer, telecommunications and environmental infrastructure necessary to recover the institution's essential functions.

Warm Site – A warm site is an alternate work site equipped with some hardware and communications interfaces, as well as electrical and environmental conditioning that are capable of providing backup after additional software or customization is performed or additional equipment is temporarily obtained.

Cold Site – A cold site is an alternate facility that has in place the environmental infrastructure necessary to recover essential functions or information systems, but does not have preinstalled

computer hardware, telecommunications equipment, etc.   Arrangements for computer and telecommunications support must be made at the time of the move to the cold site.

According to guidelines established in FCD 1, alternate facilities may make use of existing institution or other space –

1. Remote/offsite training facilities. These facilities may include an institution training facility located near the institution's normal operating facility, but far enough away to afford some geographical dispersion.

2. Regional or field offices. Some institutions have a regional office or a field office that could be used as an alternate facility.

3. Satellite campus or equivalent operations. Some institution operations are so extensive that their operations and the facilities required to support them extend beyond the geographic expanse of the institution host city, and necessitate an additional location(s) elsewhere. One of these locations could serve as an alternate facility.

4. Memorandum of Agreement (MOA)/Memorandum of Understanding (MOU) for co-location with another agency or institution. One institution may relocate to another agency or institution's facilities. The institution that is relocating could occupy available space in the receiving agency or institution's HQ facility, training facilities, field offices, or other available space.

5. Participation in a joint-use alternate facility. With this option, institutions must ensure that shared facilities are not overcommitted during a continuity situation. Several agencies and/or institutions may pool their resources to acquire space they can use jointly as an alternate facility. An institution may co-locate with another agency or institution at an alternate-facility, but each institution should have individually designated space and other resources at that location to meet its own needs.

6. Alternate use of existing facilities. In certain types of continuity situations, such as a pandemic, a combination of facilities may be used to support continuity of operations (e.g., social distancing).

In addition to an alternate facility, institutions may consider implementing other or nontraditional continuity facility options including:

1) Virtual offices – To be effective, this option must provide access to vital records and databases to support the institution's essential functions and the robust communications necessary to sustain an institution's essential functions.
   a) Work at home/telework. Many institutions have programs that allow employees to work from home. This capability should be leveraged to allow some continuity personnel to fulfill their essential functions while at home or at another off-site location.

b) Telecommuting facilities. These can include government funded or other telecommuting facilities. These facilities can accommodate, on a prearranged basis, some continuity personnel, to allow them to fulfill their essential functions at those locations.

c) Mobile office. This capability includes the use of mobile kits that can include continuity equipment such as laptop computers, cell phones, and satellite communications equipment, which can be readily transported to a remote location.

The following factors should be considered when selecting alternate work sites:

Location – Risk free environment and geographically dispersed;

Construction – Safe from high-risk hazards in the areas;

Space – Space for personnel, equipment and systems;

Transportation – Consider public access, public transportation and proximity to hotels and restaurants;

Communications – Support data and telephone communication requirements;

Security – Controlled access;

Power – Electricity for lighting, HVAC and support of essential resources, preferably on a different power grid;

Life Necessities – Access to essentials to support life including food, water and lodging;

Sanitation – Adequate sanitation facilities to support the number of personnel working at the site;

Site Preparation Requirements – Time, effort and cost required to make ready; and

Maintenance – Degree of maintenance required to keep the facility ready.

Worksheet #7 can assist in identifying requirements for alternate facilities during COOP plan activation.

Selection of alternate facilities is one of the fundamental elements of a COOP plan. However, the potential costs for ensuring that an alternate facility is available and ready when needed can be significant. The cost of a site is directly related to a function's RTO; the shorter the RTO, the warmer the facility and the higher the cost. Due to the criticality of the alternate location and the possible costs associated with that site, it is important that the COOP team provide departments with a consistent set of planning assumptions for use in planning for, and assessing the viability of, alternate facility locations.

To alleviate the high potential costs associated with selecting an alternate facility location, the following considerations should be made:

- Ensure that only essential personnel relocate and essential functions are performed at the alternate location;

- Consider virtual office options such as telecommuting and video teleconferencing;

- Several departments could pool their resources to acquire space for an alternate facility location;

- Co-locate with another department, but each would have individually-designated space to meet its alternate facility needs;

- Establish memoranda of understanding (MOUs) or mutual aid agreements with surrounding jurisdictions or institutions; and

- Establish a pre-positioned contract if a lease is required.

When considering alternate facility locations, use the following guidelines to determine how far to relocate:

- **Building Specific Event** – Another building on-campus;

- **Local Event** – Within five miles of primary location; and

- **Widespread Event** – Within 30 miles of primary location, such as another campus of the institution or a sister institution.

Worksheets #7 can assist in documenting requirements for an alternate facility and **Worksheet #8** can assist in identifying alternate facility options.

Identify Interoperable Communications

Interoperable communications, or the ability for faculty and staff to communicate internally and externally, is critical during events and supports personnel performing essential functions.

At this time the below requirements are not mandated for institutions but are recognized by VDEM as a best practice.

In accordance with the National Communications System's (NCS) Directive 3-10, NCS Manual 3-10-1, and other established communications requirements, an agency must:
- Implement minimum communications requirements for its HQs and its alternate and other continuity facilities, as appropriate, which support the continuation of that agency's essential functions;

- Possess interoperable and available communications capabilities in sufficient quantity and mode/media, and that are commensurate with that agency's responsibilities during conditions of an emergency;

- Possess communications capabilities that can support the agency's senior leadership while they are in transit to alternate facilities;

- Ensure that the communications capabilities required by this Directive are maintained and readily available for a period of sustained usage of no less than 30 days or until normal operations can be reestablished, and that all continuity staff are properly trained, as appropriate, in the use of these communications capabilities;

- Satisfy the requirement to provide assured and priority access to communications resources; and

- Have sufficient communications capabilities to accomplish the agency's essential functions from an alternate facility. If the agency's alternate facility is shared with another agency, also have a signed agreement with that agency which ensures that each has adequate access to communications resources.

Internal and external communications systems used to communicate with emergency and non-emergency personnel, media and other external agencies during COOP events include:

- Commercial land line or VoIP phone system;

- Cellular telephone network;

- E-mail and text messaging (pager, cell phones, PDAs);

- Pagers;

- Alert and notification systems;

- Voice message siren systems;

- National Public Safety Planning Advisory Committee (NPSPAC) 800 MHz public safety and critical infrastructure channels (or other region-specific mutual aid channels);

- Satellite phones; and

- Web-based communications.

The institution should provide for redundancy of communication methods in the event that one or more systems are not operational. Operational communications systems at the alternate facility should include:

- Commercial land line or VoIP phone system;

- Cellular telephone network;

- E-mail;

- NPSPAC 800 MHz public safety, critical infrastructure, private business and commercial systems or channels (or other region-specific mutual aid channels); or

- Satellite phones.

Access to critical information systems that support essential functions during normal operations from the primary facility must be available at the alternate facility location. Network connectivity and the data that supports essential functions must also be available.

Departments within each college or university have various needs and capabilities regarding communications which should be addressed in their departmental COOP plans. In the case of institutions that are developing a single plan for the organization, the communications section should detail the communications systems in use institution-wide, and highlight any departments or divisions with unique capabilities. Examples would include radios used by police and facilities departments. **Worksheet #9** can assist in identifying the communications systems currently in place.

Communications Plans

Communications is one of the most critical capabilities during any event. The ability to communicate internally within the organization and externally to first responders, stakeholders, media and the public is crucial. The EOP typically details external communication plans, due to its focus on initial response to an emergency and interaction with first responders. COOP planning is an opportunity to review existing plans and ensure their effectiveness. External communications is addressed below. Developing a Rapid Recall List or call tree for internal communications is addressed on page 42 of the manual.

External Communications

Public outreach and communication is an integral part of any event that disrupts essential functions of a college or university. Most institutions have public information plans. While developing the COOP plan, it is a good time to review any communications plans the college or university has and ensure they meet the needs of all types of events and crisis.

The plan may include:

- Media outlets and contacts;

- Methods of communication such as press releases, text message alerts, reverse call, voice-message sirens and building alert systems;

- Designated spokespersons;

- Scripted press releases; and

- Lists of subject matter experts who could be called upon to address certain types of events.

Media can serve as a critical resource to a college or university during an emergency. Media outlets are able to quickly disseminate warning messages and special news advisories provided by the college or university to the public. Even so, it is important to manage the flow of information to avoid rumors. Institutions should consider including a representative from the COOP Team to serve as media liaison or PIO. A spokesperson experienced in public or media relations has well-developed contacts and strong relationships with local media, which will help improve the speed and quality of communications, especially during potentially tense situations that may arise during events.

Public Information Officer

The Public Information Officer (PIO) has the following responsibilities when directing the college's or university's communications plan and media relations:

- Coordinating and integrating public information functions for the institution;

- Developing accurate and complete information on the event for both internal and external distribution;

- Developing standard operating procedures on the use of the Joint Information Center (JIC) and the equipment and staff which may be needed (a JIC is a requirement of NIMS, go to http://www.fema.gov/emergency/nims/index.shtm, click on "What's New at the NIC" and reference "Basic Guidance for Public Information Officers");

- Coordinating the overall public information efforts of the college or university;

- Conducting public education programs as an ongoing activity;

- Developing and disseminating public information materials and maintaining a stock of materials for emergency use based on hazards likely to confront the college or university;

- Periodically briefing the media on local warning systems and warning procedures;

- Maintaining a media contact roster; and

- Providing authorized news releases to the media while keeping senior leadership informed of message content.

Human Capital Management

Human capital management is the process of acquiring, optimizing and retaining the best talent by implementing processes and systems matched to the institution's underlying mission.

During COOP plan implementation, an institution may need to perform with reduced staffing. Human capital management is critical in ensuring the flexibility required of faculty and staff during these times of crisis. Institutions should ensure that all faculty and staff are adequately trained and cross-trained to enable the performance of all essential functions.

During an emergency, faculty and staff need to focus on performing essential functions. This focus will be disrupted if the faculty and staff are concerned about their families' safety and security. Faculty, staff and their families will appreciate knowing the institution is concerned for their safety; therefore leaders should encourage all faculty and staff to plan for their families' well-being before an event occurs.

The COOP program should include:

- An emergency call-in number for faculty and staff to gather information regarding the college or university operations, type of emergency, pay, etc.;

- Provide guidance and assistance to faculty, staff and their families; and

- Provide guidance regarding establishment of family go-kits. Family go-kits should include, but are not limited to, the following:

  - NOAA weather radio;

  - Water;

  - Non-perishable food;

  - First Aid kit;

  - Flashlight and batteries; and

  - Prescriptions.

  Visit the following links for additional information on preparing family go-kits:

- www.VAEmergency.com;

- www.Ready.gov;

- www.nfpa.org;
- www.fema.gov; and
- www.fema.gov/kids.

It is important to ensure that human resource policies support the overall COOP program. The institution's senior leadership and the COOP Team should review the policies and procedures to ensure they allow for flexibility during COOP plan implementation. The COOP Team provides direction to administration to address human resource issues. These issues include:

- Leave policies;
- Labor relations or union contracts;
- Cross-training;
- Contingency staffing plans (internal or external);
- Transportation;
- Employee communication programs or accountability;
- Telecommuting;
- Workers Compensation;
- Family support planning;
- Counseling; and
- Family shelters.

The issue of guiding and monitoring volunteers might arise after an event, before COOP plan implementation. Managing volunteers, including those who respond independently to the emergency, should be considered and addressed in the institution's EOP.

At this time the below requirements are not mandated at the state level but recognized by VDEM as a best practice.

FCD 1 outlines six areas of human capital management that a COOP Plan must address:

1. Institutions must develop and implement a process to identify, document communicate with and train key personnel.
2. Institutions must provide guidance to continuity personnel on individual preparedness measures they should take to ensure response to a continuity event.
3. Institutions must implement a process to communicate the agency's operating status to all staff.
4. Institutions must implement a process to contact and account for all staff in the event of an emergency.
5. Institutions must identify a human capital liaison from the institution's human resources staff to work the COOP Coordinator when developing the agency's emergency plans.
6. Institutions must implement a process to communicate their human capital guidance for emergencies (pay, leave, staffing and other human resources flexibilities) to continue essential functions during an emergency.

PHASE III - DESIGN AND DEVELOPMENT

The Design and Development phase of the COOP planning process includes development of the actual COOP document and scope, entry of gathered data into the COOP template and finalization of the plan structure.

The COOP team will decide if the plan should consist of one comprehensive plan or a basic plan with a series of department plans (or divisional, depending on organizational structure.) The direction of the COOP team will depend on the structure of the college or university, the complexity of the mission and the available resources for planning and development. For example, a small college or university with a limited number of departments may opt for a single comprehensive plan, while a college or university with a large number of departments may develop a plan that addresses each department or division separately. If each department has a separate plan, the institution should create a basic overarching COOP plan for the institution as a whole. Department plans could be inserted as appendices to the basic plan.

Depending on which template is used, a COOP plan might include some but not all of the following sections:

- **Cover Page** – Identifies that the COOP plan is a confidential document and not subject to public review. Include the following statement: "Not subject to FOIA under Virginia Code 2.2-3705.2;"

- **Privacy Statement** – Describes the sensitive nature of the document and refers any request of the document to the appropriate legal counsel;

- **Record of Changes** – Records all the revisions and updates to the COOP plan;

- **Executive Summary** – Briefly outlines the content of the COOP plan and describes what it is, whom it affects and the circumstances under which it should be executed. Further, it discusses the key elements of COOP planning and explains the institution's or department's implementation strategies;

- **Introduction** – Explains the importance of COOP planning to the institution. It also discusses the background for planning, referencing recent events that have led to the increased emphasis on the importance of a COOP capability for the organization;

- **Purpose** – Explains why the institution is developing a COOP plan. It briefly discusses applicable state and federal guidance and explains the overall purpose of COOP planning, which is to ensure the continuity of essential functions;

- **Scope** – Describes the applicability of the plan to the institution as a whole, the primary and satellite facilities and personnel. Ideally, the scope of a COOP plan addresses the full spectrum of potential threats, crises and events (natural as well as man-made);

- **Authorities and References** – Lists local, state and federal references regarding COOP planning that have assisted in the development of the COOP plan;

- **Concept of Operations** – Explains how the institution will implement its COOP plan and how it plans to address each critical COOP element;

- **Essential Functions** – Addresses the functions that must continue with no, or minimal, disruptions (see page 17 of the manual for more information);

- **Planning Scenarios and Planning Assumptions** – Identifies and defines the planning objectives and considerations that need to be developed by the COOP Team during program initiation;

- **COOP Plan Implementation** – Outlines the executive decision process, levels of emergency and checklists that are utilized during COOP plan activation (see page 43 of the manual for more information);

- **Loss of Access to a Facility** – Addresses the procedures a department will follow to continue essential functions when there is a loss of access to a facility;

- **Loss of Services Due to a Reduction of Workforce** – Addresses the procedures a department will follow to continue essential functions when there is a loss of services due to a reduction of workforce;

- **Loss of Services Due to Equipment or System Failure** – Addresses the procedures a department will follow to continue essential functions when there is a loss of services due to equipment or system failure;

- **Organization and Assignment of Responsibilities** – Identifies key positions within the institution and their responsibilities in the event of an emergency requiring COOP plan activation. It also addresses contact information for internal and external contacts;

- **COOP Teams** – Lists staff members who coordinate the implementation and maintenance of the overarching COOP program for the institution and its departments (see pages 15-16 of the manual for more information);

- **Alternate Facilities** – Lists the facilities that have been identified by institutions to provide continuation of essential functions if the primary facility is unavailable (see page 24 of the manual for more information);

- **Alert and Notification** – Describes the protocols and procedures that are in place to alert personnel via call rosters during an emergency (see page 41 of the manual for more information);

- **Orders of Succession and Delegations of Authority** – Lists successors for essential personnel and defines authority that may be delegated to successors and other key personnel (see page 23 of the manual for more information);

- **Vital Records, Systems and Equipment** – Identifies the policies established by an institution regarding records, software, systems and equipment required to support essential functions at the primary and alternate locations (see page 20 of the manual for more information);

- **Interoperable Communications** – Describes the internal and external communications systems used to communicate with emergency and non-emergency personnel, media, and other external agencies during COOP emergencies (see page 27 of the manual for more information) ;

- **COOP Administration and Support** – Identifies key positions within the department and their responsibilities in the administration and maintenance of the COOP plan;

- **Multi-Year Strategy and Program Management** – Describes the overall management of the COOP program. It includes the names of the members of the Executive Steering

Team and the COOP Team. It details their roles and responsibilities (see page 10 of the manual for more information);

- **COOP Plan Maintenance** – Details the activities associated with maintaining the COOP plan (see page 55 of the manual for more information); and

- **Acronyms and Definitions** – Defines key words, phrases and acronyms used throughout the plan and any terms generally associated with continuity planning (see page 1 of the manual for more information).

The COOP plan might have several appendices, depending on institution-specific needs. For example, there might be appendices addressing:

- Pandemic Influenza Planning;

- Essential Functions;

- COOP Team Roster;

- Requirements for Alternate Facility Location;

- Orders of Succession;

- Delegations of Authority;

- Vital Records, Systems and Equipment;

- Communications; and

- Reunification Plan Summary (not a requirement of COOP, see page 45).

PHASE IV - PUBLICATION AND DISSEMINATION

The publication and dissemination phase of the COOP planning process consists of the following:

- Publishing the plan;

- Presenting the plan to the appropriate college or university faculty and staff; and

- Educating all faculty and staff on their roles and responsibilities associated with COOP plan implementation.

During this phase, the COOP plan is put into effect. After initial publication and training, the COOP plan should become a part of day-to-day activities. Even though the plan is intended to become a part of daily activities, refer any request for a copy of this document to the institution's legal counsel or to the Attorney General's office. The information contained in the COOP plan could potentially reveal the institution's vulnerabilities, would expose faculty and staff's confidential information and, according to the Code of Virginia § 2.2-3705.2, is not subject to FOIA requests in the Commonwealth.

PHASE V - TRAINING, TESTING AND EXERCISES

The training, testing and exercises phase consists of the following;

- Assessing and validating COOP plans, policies and procedures;

- Ensuring that faculty and staff are familiar with COOP procedures;

- Incorporating National Incident Management System (NIMS), for personnel with supporting responsibilities within the EOC or any emergency operations capacity during COOP plan activation; and

- Ensuring that COOP essential personnel are sufficiently trained to carry out essential functions during COOP plan activation.

The training, testing and exercises program will ensure that faculty and staff are aware of their roles and responsibilities in the execution of the COOP plan. Institutions and departments should make every attempt to undertake joint initiatives for developing and conducting exercises in order to increase awareness of available resources, develop relationships with other departments, involve working groups and committees, participate in multi-department COOP exercises and coordinate with other emergency teams.

Regularly scheduled exercises are critical to ensuring that the COOP plan can be executed during an event. Exercising is one of the most effective ways to discover and document necessary modifications. Exercising the plan will also help institutionalize the process for faculty and staff. Faculty and staff who are confident in their ability to implement the plan will be more effective when the time comes to make the plan work during a real event.

A testing and exercise program should be progressive in nature, building from simple, individual tasks to complex, multi-department or jurisdiction interactions. The program should contain activities that build on training and improve capabilities through a series of tests and exercises.

Do not overlook the need to train students and faculty, especially adjuncts who may not be familiar with facilities or procedures. At a minimum, both groups should be aware of alert and notification, building evacuation, and basic safety procedures.

Training

After the COOP plan is developed, all personnel involved in COOP activities should be trained and equipped to perform their emergency duties. Training team members and essential personnel will ensure that the college or university is prepared to meet the unusual demands that may arise when essential functions are performed in an emergency.

An effective COOP training program includes:

- Individual and team training to ensure the current knowledge and integrated skills necessary to perform essential functions;

- Refresher training for essential personnel as they arrive at the alternate facility location; and

- Training courses and materials designed to improve knowledge and skills related to carrying out COOP responsibilities.

According to FCD 1, an institution's training program must include:

1. Annual continuity awareness briefings (or other means of orientation) for the entire workforce.

2. Annual training for personnel (including host or contractor personnel) who are assigned to activate, support, and sustain continuity operations.

3. Annual training for the institution's leadership on that agency's essential functions including training on their continuity responsibilities.

4. Annual training for all institution personnel who assume the authority and responsibility of the institution's leadership if that leadership is incapacitated or becomes otherwise unavailable during a continuity situation.

5. Annual training for all predelegated authorities for making policy determinations and other decisions, at the headquarters, field, satellite, and other organizational levels, as appropriate.

6. Personnel briefings on institution continuity plans that involve using, or relocating to alternate facilities, existing facilities, or virtual offices.

7. Annual training on the capabilities of communications and information technology (IT) systems to be used during a continuity event.

8. Annual training regarding identification, protection, and ready availability of electronic and hardcopy documents, references, records, information systems, and data management software and equipment (including classified and other sensitive data) needed to support essential functions during a continuity situation.

9. Annual training for all reconstitution plans and procedures to resume normal institution operations from the original or replacement primary operating facility.

At this time the above requirements are not mandated at the state level but recognized by VDEM as a best practice.

Universities may utilize FEMA's Independent Study Program, particularly, courses IS – 546 and IS – 547 to provide faculty and staff with basic COOP concepts.

National Incident Management System (NIMS) and Incident Command System (ICS) Training

NIMS provides a consistent, flexible and adjustable national framework, which institutions of all sizes can use to manage events, regardless of their cause, size, location or complexity. The ICS is a standardized, on-scene, all-hazard incident management concept. ICS allows its users to adopt an integrated response structure to match the complexities and demands of single or multiple events without being hindered by jurisdictional boundaries. NIMS utilizes a Joint Information System (JIS) and Joint Information Center (JIC). A JIS is the process each agency

uses to manage the flow of information. This takes place within the JIC, which is the actual location where institutions can disseminate appropriate situational awareness information to the public during emergency situations.

During an emergency, the JIS provides the mechanism for integrating public information activities to ensure coordinated and consistent message development, verification and dissemination.

Currently, there are no COOP-specific requirements for training faulty and staff in the ICS or NIMS. However, institutions should ensure that all COOP-related activities supporting or within the EOC in any emergency operations capacity, will meet NIMS implementation measures established by the NIMS Integration Center. Please refer to the following link to view the NIMS Implementation Activities Schedule:
http://www.fema.gov/pdf/emergency/nims/nims_imp_act.pdf

In the table, indicate the number of staff who have completed the courses below (out of the staff you have identified for EOC, response and recovery activities). This is also presented as **Worksheet #10**.

Table 3
Personnel with NIMS Training

	Entry-level First Responders (Unit/Task Force Leader)	First Line Supervisors (Division/ Group Supervisor)	Emergency Management and Response Personnel in Middle Management (Section Chiefs and Branch Director)	Emergency Management and Response Personnel in Command and General Staff (Incident Command & Command Staff)	Executive Level Management for Institutions
IS-700	[ ]	[ ]	[ ]	[ ]	[ ]
IS-800			[ ]	[ ]	
ICS-100	[ ]	[ ]	[ ]	[ ]	[ ]
ICS-200	[ ]	[ ]	[ ]	[ ]	[ ]
ICS-300			[ ]	[ ]	
ICS-400			[ ]	[ ]	

*Gray boxes are not applicable

Safety Training

It is recommended that institutions incorporate their existing health and safety or loss prevention program into the COOP program. The health and safety plan should establish U.S. Occupational Safety and Health Administration (OSHA) compliant safety strategies and implementation plans for the college or university during COOP plan activation.

Safety training should provide emergency workers with information on how to identify hazardous conditions and specific guidelines on the proper use of personal protective equipment (PPE). The safety training schedule will include, but is not limited to, the following:

- Heavy Equipment Safety;
- Physical Hazards;
- Chemical Safety;
- Blood-borne Pathogens;
- PPE;
- Fire Emergency; and
- Electrical.

Testing and Exercise Program

A test is an evaluation of a capability against an established and measurable standard. Tests are conducted to evaluate capabilities, not staff. By testing, institution staff can tell if the policies and procedures work, as they should, when they should. Testing also validates that equipment and systems conform to specifications and operate in the required environments.

Testing COOP capabilities is essential to demonstrating and improving the ability of institutions to execute their plan. Tests validate, or identify for correction, specific aspects of COOP plans. Periodic testing also helps ensure that equipment and procedures are maintained in a constant state of readiness.

Drills or System Tests are coordinated and supervised activities normally used to exercise a single specific operation, function, or system. They evaluate response time or performance against RTOs; provide training with new equipment or procedures; or enable practice using current skills.

According to FCD 1, an institution's test program must include:
1. Annual testing of alert, notification, and activation procedures for continuity personnel, and quarterly testing of such procedures for continuity personnel at institution headquarters.
2. Annual testing of plans for recovering vital records (both classified and unclassified), critical information systems, services, and data.
3. Annual testing of primary and backup infrastructure systems and services (e.g., power, water, fuel) at alternate facilities.
4. Annual testing and exercising of required physical security capabilities at alternate facilities.

5. Testing and validating equipment to ensure the internal and external interoperability and viability of communications systems, through monthly testing of the continuity communications capabilities (e.g., secure and nonsecure voice and data communications).
6. Annual testing of the capabilities required to perform an institution's essential functions.
7. Conducting annual testing of internal and external interdependencies identified in the institution's continuity plan, with respect to performance of an institution's and other institutions' essential functions.
8. A process for formally documenting and reporting tests and their results.

At this time the above requirements are not mandated at the state level but recognized by VDEM as a best practice.

Exercises are conducted to validate elements of the COOP plan, both individually and collectively. Exercises should be realistic simulations of an emergency, during which individuals and departments perform the tasks that are expected of them in a real event. Exercises should: promote preparedness; improve the response capability of individuals and the college or university, validate plans, policies, procedures and systems; and verify the effectiveness of command, control and communication functions. Exercises may vary in size and complexity to achieve different objectives. The various types of exercises are described below:

- **Tabletop Exercises** simulate an activation of the COOP plan in an informal, stress-free environment. They are designed to promote constructive discussion as participants examine and resolve problems based on existing plans. There is no equipment utilization, resource deployment, or time pressure. The exercise's success depends on the group identifying problem areas, and offering constructive resolution alternatives. This format exposes personnel to new or unfamiliar concepts, plans, policies, and procedures;

- **Functional Exercises** are interactive exercises performed in real time that test the capability of the college or university to respond to a simulated emergency. They test one or more functions and focus on procedures, roles and responsibilities before, during or after an event; and

- **Full-Scale Exercises** simulate emergency conditions through field exercises designed to evaluate the execution of the COOP plan in a highly stressful environment. This realism is accomplished through mobilization of college or university personnel, equipment and resources.

According to FCD 1, an institution's exercise program must include:
1. Compliance with the DHS-mandated National Exercise Program (NEP), as appropriate.
2. An annual opportunity for continuity personnel to demonstrate their familiarity with continuity plans and procedures and to demonstrate the institution's capability to continue its essential functions.
3. An annual exercise that incorporates the deliberate and preplanned movement of continuity personnel to an alternate facility or location.
4. An opportunity to demonstrate intra- and interagency communications capabilities.

5. An opportunity to demonstrate that backup data and records required to support essential functions at alternate facilities or locations are sufficient, complete, and current.
6. An opportunity for continuity personnel to demonstrate their familiarity with the reconstitution procedures to transition from a continuity environment to normal activities when appropriate.
7. A comprehensive debriefing or hotwash after each exercise, which allows participants to identify systemic weakness in plans and procedures and to recommend revisions to the institution's continuity plan.

At this time the above requirements are not mandated at the state level but recognized by VDEM as a best practice.

Table 4
Sample COOP Testing, Training and Exercise Schedule

Type	Participants	Frequency	Location
Drill	Successors	Quarterly	Training Room or Alternate Facility
Tabletop	Essential Personnel Successors	Annually	Training Room or Alternate Facility
Tabletop	Senior Management	Annually	Training Room or Alternate Facility
Tabletop	Executive Leadership Senior Management Supervisors	Annually	Training Room or Alternate Facility
Full-Scale	Essential Personnel	Annually or Bi-annually	Alternate Facility

After Action Report

Each exercise activity, as well as actual events, should be evaluated and the results incorporated into a formal corrective action process. The results will be used as performance measurements to rate overall effectiveness of the COOP program.

The evaluation of the exercise or actual event will identify systemic weaknesses and suggest corrective actions that will enhance a college's or university's preparedness. Following the exercise or actual event, a comprehensive debriefing and After Action Report (AAR) should be completed. All data collected should be incorporated into an improvement plan that provides input for annual COOP plan revisions.

Recommendations for changes to the COOP plan should be developed and incorporated into the COOP Annual Review Process. Immediately following an exercise or actual event, recommendations that affect alert and notification, COOP plan activation or implementation, or any operational issues, should be developed and incorporated into the COOP plan. Institutions

may also want to reference Homeland Security Exercise and Evaluation Program (HSEEP) guidelines at www.hseep.dhs.gov. Although institutions are not required to follow HSEEP guidelines for exercises and their evaluations, it is a good reference tool and will be helpful if the institution conducts joint exercises with surrounding local governments. A sample non-HSEEP AAR can be accessed on VDEM's Web site at www.vaemergency.com.

PHASE VI – COOP PLAN IMPLEMENTATION

After an emergency is declared, or a disruption to essential functions occurs, the period of "COOP Plan Implementation" begins with three stages: Activation and Relocation; Alternate Facility Operations; and Reconstitution. Activation is when all or a portion of the plan has been put into motion and procedures are followed for alert and notification. Relocation is the actual movement of a department to an alternate facility. Alternate Facility Operations is performing essential functions at the alternate facility. Reconstitution focuses on restoring business operations to their normal state of affairs. Reunification planning, although not a requirement of COOP, provides a process for families to get information about the incident and those affected and to reunite with their loved ones.

The COOP Plan Implementation phase consists of the following:

- Activation and Relocation
  - Activation
    - Level of Emergency
    - Alert and Notification
  - Relocation
    - Interim Processes
    - Devolution
- Alternate Facility Operations
  - Go-Kits
  - Reception and In-processing
  - Personnel Accountability
- Reconstitution
  - Reconstitution Process
  - Implementation of Reconstitution Plan
  - Reconstitution Manager
- Reunification Plan
- Implementation Checklist

Activation and Relocation

Activation

Many situations may occur that require activation of a COOP plan or portions of the plan. An event that impacts the entire campus, a single building or a department that occupies a building could force COOP Plan Implementation. Two types of activation exist:

- Activation with relocation; and

- ■ Activation without relocation.

Activation with relocation is triggered by any unsafe conditions at the department's primary location, or infrastructure issues such as loss of utilities or network connectivity for an extended duration, which would make the facility unusable. Activation without relocation can be triggered by personnel issues, such as pandemic influenza, or an enterprise-wide IT outage. If relocation is necessary, initiating the department's alternate facility location activities would also occur during this phase.

COOP Plan Activation: With or Without Warning during Duty or Non-Duty Hours

The COOP plan is activated based on known or anticipated threats and events that may occur with or without warning. The general assumptions for activating the COOP plan with or without warning are described below:

- ■ **Known threats and events (with warning)**: There are some threats to operations that might afford advance warning, permitting the orderly alert, notification, evacuation and, if necessary, the relocation of faculty and staff. Situations that might provide such warning include a hurricane, a transportation accident resulting in a threat of a release of hazardous material (HAZMAT) or a threat of a terrorist incident;

- ■ **Unanticipated threats and emergencies (no warning) during non-duty hours**: Event might not be preceded by warning (e.g., earthquakes, arson, HAZMAT, or terrorist incidents) and might occur while the majority of staff are not at work. In these circumstances, while operations from the primary facilities may be impossible, the majority of the department's faculty and staff are able to respond to instructions, including the requirement to relocate following proper notification; and

- ■ **Unanticipated threats and emergencies (no warning) during duty hours**: Event might also occur with no warning during normal office hours. In these circumstances, implementation of the COOP plan, if indicated by the circumstances of the event, would begin after execution of the emergency response or operations plan to support notification, evacuation and situation assessment.

Level of Emergency and Executive Decision Process

A COOP plan also can be activated in part or in whole depending upon the disruption or threat. An event may force faculty and staff to evacuate a single facility for a day or two, which may require executing only the communications component of the COOP plan and IT recovery of data and systems. On the other hand, a department's offices could be destroyed during the business day, which would require full execution of a COOP plan, including evacuation and pre-planned movement of essential personnel to an alternate facility location that can sustain essential functions for 30 days.

An effective COOP plan outlines an executive decision process for the quick and accurate assessment of the situation and determining the best course of action for response and recovery. It helps to develop a decision matrix or flow chart that ties the department's reaction to the class or level of emergency. There is no standardized classification for emergencies, but the following model may be useful. The matrix below can be modified to reflect a college or university EOP levels of emergency.

Table 5
Level of Emergency and Decision Matrix

Level of Emergency	Category	Impact on Institution	Decisions
I	Alert	An actual or anticipated event may have an adverse impact of up to 12 hours on any portion of the institution but does not require any specific response beyond what is normally available.	Impacted department alerts appropriate personnel of situation and requests needed assistance. No COOP plan implementation required.
II	Stand-by	An actual or anticipated event estimated to have minimal impact on operations for 12 to 72 hours that may require assistance beyond what is normally available.	Impacted department alerts appropriate personnel. Members of the COOP Team are notified and placed on stand-by. Limited COOP plan implementation depending on individual department requirements.
III	Partial Implementation	An actual event estimated to disrupt the operations of one or more essential functions or impact vital systems for more than three days.	Impacted department alerts senior leadership. COOP Team members alerted and instructed on the full or partial implementation of the COOP plan. Implementation of the COOP plan approved by the senior leadership. Might require the mobilization of all resources. Might also require the activation of orders of succession. Might require the movement of some faculty and staff to an alternate location for a period of more than three

Level of Emergency	Category	Impact on Institution	Decisions
			days but less than 14 days. Event requires command and control resources be applied to the issue.
IV	Full Implementation	An actual event that significantly disrupts the operations of three or more essential functions or to the full department that impacts multiple vital systems for more than seven days.	Impacted department alerts senior leadership. COOP Team members alerted and instructed on the full or partial activation of the COOP plan. Might require activation of orders of succession. Might require the movement of significant number of personnel to an alternate location for a period of more than 14 days. Event requires command and control resources be applied to the issue, and may require the complete mobilization of all resources.

Alert and Notification

A college or university must establish specific procedures to alert and notify students, faculty and staff of emergency situations, including building evacuation required by immediate danger, as well as impending events that have been forecast.

Likewise, notifying, faculty and staff off-hours may be necessary, in which case automated dialers, call trees, e-mail alerts, text messaging, or other techniques should be developed during COOP planning. Especially important is the ability to actively "push" messages and information to personnel. Communications planning is a crucial part of building an effective COOP capability. Alert and notification procedures should be in place to ensure an efficient and effective activation process.

Rapid Recall List

The Rapid Recall List is a short document with a cascade call list and other critical phone numbers. The cascade list should include the COOP Team, essential personnel and emergency personnel, both inside and outside the institution. The COOP Coordinator will activate the list and initiate contact with Executive Steering Team and the COOP Team. **Worksheet #11** can assist in developing a call tree or Rapid Recall List if one has not already been developed.

Relocation

Relocation is the actual movement of essential functions, personnel, records and equipment to the alternate facility. Relocation also may involve:

- Transferring communications capability to an alternate facility;

- Ordering supplies and equipment that are not already in place at the alternate facility; and

- Other planned activities, such as providing network access.

Interim Processes

Interim processes are temporary workarounds that can restore some level of functionality until the resources normally supporting essential functions are recovered. Interim processes may be manual ones (e.g., hand-written or typed purchase orders, or hand-written receipts and ledgers for receivables, performed after an IT system or network interruption). They may not be effective alternatives for long periods, but can provide extra time for recovering supporting resources without suffering a complete outage. Interim processes may be documented in procedure manuals or other guides to help faculty and staff continue operations during minor, non-COOP incidents as well. These procedures need to be maintained and updated. Other alternatives may be mutual aid agreements with local governments or institutions using the same systems. Interim processes can be developed within current standard operation procedures (SOPs) or standard operating guidelines (SOGs) to ensure essential functions continue.

Devolution

Devolution is the capability to transfer statutory authority and responsibility for essential functions from a department's primary operating staff and facilities to another department. It also is the ability to sustain that operational capability for an extended period, which is also called "fail over." Devolution supports overall COOP planning and addresses catastrophic or other disasters that render an institution's leadership and staff unavailable or incapable of performing their essential functions from either the primary or alternate facilities.

Federal agencies are required to include devolution procedures within their COOP plans, however, devolution is currently not a requirement of state government, colleges or universities. *(This section is included for information purposes only. Devolution is not included within the basic, department or comprehensive plan templates).*

Alternate Facility Operations

Establishment of a college's or university's alternate facilities takes place within the first 12 hours of activation and may last up to 30 days. Issues to address during this phase include:

- Providing minimum standards for communications and direction and control to be maintained until the alternate facility is operational;
- Activating plans, policies and procedures, transfer activities, essential functions, personnel, records and equipment;
- Securing the primary facility, equipment and vital records;
- Assigning roles and responsibilities to essential personnel;
- Establishing internal and external communications structures;
- Accounting for staff, including supportive personnel; and
- Developing plans and schedules for reconstitution.

In events affecting multiple departments, alternate facility location resource conflicts may arise. Examples include the services of a shared infrastructure resource such as IT or two departments that may have planned to use the same facility as their alternate facility location. Day-to-day operations will continue in the alternate facilities until the reconstitution phase has been completed.

Go-Kits

Go-Kits are pre-packaged, up-to-date kits containing equipment, reference material, and personal and logistical support items needed to perform essential functions. Even with a well-equipped alternate location, go-kits help transfer critical information and equipment.

The contents of the department go-kits should be updated monthly to keep information and materials current.

Professional Go-Kit

Professional go-kits should contain standard operating procedures, emergency plans, operating orders or regulations, and other relevant guidance that is not pre-positioned at an alternate facility location. Other documents that may be contained in a professional go-kit include:

- COOP plan;
- Current contact lists for personnel and external parties;
- Formatted computer diskettes, CD-ROMs or memory sticks;
- General office supplies (small amount);
- In-processing packet;
- Cellular telephone, Blackberry, Nextel, PDA device;
- Current equipment report;
- Current software report; and
- Current vital records, files and database report.

Reception and In-processing

The COOP plan must establish a reception area and in-processing procedures for deployed personnel. Personnel must know where to go to check-in and receive assignment to their workspaces.

Arriving personnel also may need information about hotels, restaurants, laundry facilities and medical treatment facilities. In-processing packets should be prepared in advance of COOP plan activation and provided to faculty and staff for inclusion in their go-kits. The packets should include information, such as:

- Hours of operation;

- Anticipated duration of the relocation, if known;

- Safety and security measures; and

- The information line telephone number.

Personnel Accountability

Personnel accountability describes a process or procedure for identifying faculty and staff whereabouts. COOP procedures must provide for accountability of deployed and non-deployed faculty and staff. Accountability is critical to ensure that:

- All faculty and staff are safe;

- Essential employees have arrived at the alternate facility; and

- When necessary, additional support can be identified quickly.

Reconstitution

Reconstitution focuses on restoring business operations to their normal state of affairs. This phase is initiated once the event is over and is unlikely to cause additional disruptions. Basic planning for reconstitution should be done concurrently with COOP planning. Event-specific reconstitution planning should begin after the COOP is activated and the situation has been adequately assessed.

Reconstitution Process

After receiving approval from law enforcement and emergency services, the institution should begin salvage operations, and begin planning for one of the following reconstitution options:

- Remaining at the relocation site because it now becomes the new primary site;

- Moving from the relocation facility back to the original site;

- Moving to a new primary site if the original is unusable; or

- Moving to a temporary site while the original is rehabilitated or a new facility constructed.

Implementation of Reconstitution Plan

Once the event-specific plan is developed, institutions need to inform all faculty and staff of the plan, its implementation schedule, and specific task assignments. Executing the reconstitution plan results in the transfer of personnel, supplies, equipment and essential functions from the relocation site if necessary, or establishes that site as the new primary site. Ensure all stakeholders, (e.g., vendors, customers and regulatory bodies) are notified if needed.

Reconstitution Manager

Because reconstitution can be very complex, many institutions will designate a Reconstitution Manager whose job is to focus solely on reconstitution issues. Typically the manager will not have primary response duties to allow him or her to focus on COOP recovery activities. A Reconstitution Manager is responsible for the following:

- Forming a reconstitution team;

- Developing space allocation and facility requirements;

- Coordinating with appropriate agencies and organizations to find suitable space, if the primary facility is not usable;

- Developing a time-phased plan and listing functions and projects in order of priority for resuming normal operations; and

- Ensuring the building is structurally safe and that it meets all local occupancy codes.

Reunification Planning

During a major event, particularly those that may involve injuries and fatalities, concerned parents and family members of staff, students and faculty will be anxious to learn that their loved ones are safe. Many will travel to campus and the institution must be prepared to communicate quickly and effectively with families, provide lodging and food and provide a quiet, safe area away from media where they can receive updates or possible counseling. The purpose of a reunification plan is to simplify and reduce the number of inquiries and quickly reestablish the link between victims and families. It allows for collection, retrieval, and consolidation of victim and missing-person data and inquiries from various sources, which could include hospitals, residence halls, medical examiner's offices and local police departments. As part of the institution's EOP, ensure there is acknowledgement of who will have responsibility for identifying victims and notifying next-of-kin.

A reunification plan also addresses the possible need for a JIC, which is a location for media to receive updates and where the institution can hold press conferences.

Institutions may want to consider forming a committee consisting of staff from facilities, public affairs or communications and public safety to create a comprehensive reunification plan. Considerations of reunification planning are listed below.

Organization

- Establish a reunification team to facilitate the setup and operations management of the site. Each team member should have a successor for their position in the event that they are a victim or not present on campus.

Communications

- Establish a reunification center to keep people away from the event, while providing stakeholders with timely and accurate event information;

- Disseminate reunification location information by external affairs or the PIO office. This will help to maintain one clear and consistent voice or message to the public. It must be highly coordinated with the JIC;

- Establish information hotlines; and

- Consider developing a virtual Web-based reunification site that is only advertised to parents and family members of students, staff and those affected. This will assist parents and family members with obtaining information without having to come to the campus physically. Parents and family members should be made aware that their presence on campus could endanger them and delay response and recovery activities during an event.

Location

- Identify both onsite and off-site locations. Large scale events will keep institutions from opening onsite reunification sites. The offsite location should be in a facility that can be easily accessed by large numbers of people and will not require additional traffic control measures to be setup by police. Ingress and egress issues may arise in the parking lot and should be addressed as needed;

- Register all who arrive at the family reunification site;

- Ensure the reunification site has water and other commodities such as bathrooms for visitors. It is suggested that EMS should provide a standby unit for first aid purposes;

- Be prepared to provide lodging close by; and

- Have counselors available at the location.

Security

- Ensure that the reunification site is safe. Sweep the location of possible secondary devices or hazards before advertising the location to the public.

COOP Plan Implementation Procedures Checklist

The purpose of this procedures checklist is to give an example of actions to be performed during an event affecting the institution. This checklist is conditionally executed when the COOP plan has been implemented; that is, the appropriate actions are performed depending on the situation. This checklist should be included in the normal plan review and maintenance process and

modified as appropriate to fit the unique processes and procedures of the institution. **Worksheet #12** can assist in modifying procedures of the institution.

Two important tasks that you should focus on during the entire event are:

- Ensuring safety and security of students, faculty, staff and facilities at all times; and

- Ensuring students, faculty and staff are regularly briefed on the status of the emergency.

Table 6
Sample COOP Plan Implementation Procedures Checklist

Item	Task	Task Assigned To	Date and Time Completed
Activation and Relocation			
1	Receive notification of emergency		
2	If necessary, conduct evacuation		
3	Conduct a headcount of personnel		
4	If necessary, contact Emergency Responders (Fire, Police, EMS)		
5	Ensure that safety measures are put into effect		
6	Contact Building Maintenance for shutting down utilities to limit further damage		
7	Direct and assist emergency personnel as required		
8	If necessary, invoke Orders of Succession		
9	Initiate personnel notification using Rapid Recall List		
10	Activate the department's Continuity of Operations Plan		
11	Hold department's response meeting at predetermined site		
12	Assemble supporting elements required for re-establishing and performing essential functions at alternate facility location: ■ Vital files, records and databases ■ Critical software ■ Critical equipment		
13	Assemble remaining documents required for performance of all other essential functions to be performed at the alternate facility location		

Item	Task	Task Assigned To	Date and Time Completed
14	Initiate external communications for applicable external contacts		
15	Prepare designated communications and other equipment for relocation		
16	Take appropriate preventive measures to protect other communications and equipment that will not be relocated		
17	Make computer connectivity and phone line transfers to designated alternate location		
18	Ensure go-kits are complete and ready for transfer		
19	Essential personnel begin movement to alternate facility location		
20	Develop detailed status of situation for senior leadership		
21	Notify remaining faculty and staff and appropriate departments for movement to alternate location		
Alternate Facility Operations			
22	Notify other departments, customers, state and surrounding jurisdictions that operations have shifted to alternate facility location		
23	Organize faculty and staff and account for non-essential personnel		
24	Develop shift rotations		
25	Determine which essential functions have been affected		
26	Develop status report		
27	Prioritize essential functions for restoration		
28	Track status and restoration efforts of all essential functions		
29	Administrative actions to assemble: ■ Onsite telephone ■ E-mail and telephone directory ■ Workforce office plan		

Item	Task	Task Assigned To	Date and Time Completed
	■ Lodging and dining plan, as appropriate		
30	Occupy workspace: ■ Stow gear and equipment ■ Vital files, records and databases ■ Test telephone, fax, e-mail, radio and other communications ■ Establish communications with essential support elements and office elements		
31	Ensure all critical equipment, critical software and vital files, records and databases are available at alternate facility location		
32	Coordinate procurement of additional equipment, as required		
Reconstitution			
33	Resume operations		
34	Appoint logistics manager		
35	Inventory and salvage useable equipment, materials, records and supplies from destroyed facility		
36	Survey condition of office building and determine feasibility of salvaging, restoring or returning to original offices when emergency subsides or is terminated		
37	Develop long term reconstitution and recovery plans		
38	Track status and restoration efforts of all essential functions		
39	Conduct transition of all functions, personnel and equipment from alternate location back to designated facility		
40	Determine loss of the department's inventory for insurance report		
41	Schedule initial review meeting with clients, public and vendors to do a briefing		
42	Develop and communicate a press release		

PHASE VII - MAINTENANCE

This phase consists of the following:

- Creating the program management process;

- Addressing budget and financial issues related to program maintenance and risk mitigation strategies; and

- Instituting a multi-year process to ensure the plan is updated, when necessary.

Program Management

The COOP program ensures that the COOP plan reflects the current college or university environment and that staff is prepared to respond during COOP plan implementation. Several overarching COOP management processes need to be formalized and documented by the COOP team. These processes are:

- Overall program management to coordinate all COOP projects;

- Overall COOP financial management;

- Internal and external communications, including public information;

- Overall command and control structure to provide strategic guidance and set performance objectives across departments;

- Coordination of command and control processes, especially between executive administration, the COOP team and department leadership;

- Legal and regulatory processes to ensure COOP planning stays in sync with legal and regulatory changes;

- A commitment to budgeting for COOP-related costs to accomplish the strategy;

- Plan maintenance that includes regular meetings of the COOP team, multi-year strategic planning and a multi-year testing, training and exercise program;

- Integration of COOP planning with other emergency management programs such as the Emergency Operations Plan (EOP) and Hazard Mitigation Plan; and

- Overall coordination of personnel and human resource management processes and standardization.

- Examples of COOP-related budget considerations include:

- Staffing any COOP or emergency planning positions;

- Accounting for and accommodating COOP and other team members' time expenditures on planning efforts;

- Funding capital improvement projects needed to mitigate risks and correct vulnerabilities; and

- Supporting staff training needs.

COOP Maintenance Plan for Colleges and Universities

Plan revisions due to changes in the college's or university's structure, essential functions or mission should be made promptly. Long-term plan maintenance should be undertaken carefully, planned for in advance and completed according to an established schedule.

Major issues to consider in COOP plan maintenance include:

- Disseminate the COOP plan information;

- Designating the review team;

- Identifying issues that impact the frequency of changes required to the COOP plan; and

- Establishing a review cycle that is consistent with current Executive Orders.

A comprehensive strategy for plan maintenance includes elements that ensure a viable COOP capability such as:

- Department-specific management and policy issues addressing COOP planning;

- Schedule for establishing COOP capability and plan approval; and

- Budget considerations required to accomplish strategy.

Institutions should develop a continuity multiyear strategy and program management plan that provides for the development, maintenance and annual review of continuity capabilities, requiring an agency to:

- Designate and review essential functions as applicable.

- Define both short-term and long-term goals and objectives for plans and procedures.
- Indentify issues, concerns, and potential obstacles to implementing the program as well as a strategy for addressing these, as appropriate.

- Establish planning, training and exercise activities, as well as milestones for accomplishing these activities.

- Indentify the people, infrastructure, communications, transportation and other resources needed to support the program.

- Forecast and establish budgetary requirements to support the program.

- Apply risk management principles to ensure that appropriate operational readiness decisions are based on the probability of an attack or other incident and its consequences.

- Incorporate geographic dispersion into the institution's normal daily operations, as appropriate.

- Integrate the institution's security strategies that address personnel, physical and adversaries from disrupting continuity plans and operations.

- Develop and implement corrective actions that draw upon evaluations, after-action reports, and lessons learned from TT&E and real world events.

At this time the above requirements are not mandated at the state level but recognized by VDEM as a best practice.

An example of a COOP plan maintenance schedule is detailed in the sample below.

Table 7
Sample COOP Plan Maintenance Schedule

Activity	Tasks	Frequency
Plan update and certification	Review entire plan for accuracy. Incorporate lessons learned and changes in policy and philosophy. Manage distribution.	Annually
Maintain orders of succession and delegations of authority	Identify current incumbents. Update rosters and contact information.	Semiannually
Maintain alternate location readiness	Check all systems. Verify accessibility. Cycle supplies and equipment, as necessary.	Monthly
Monitor and maintain vital records program	Monitor volume of materials. Update or remove files.	Ongoing
Revise COOP Plan Implementation Checklist and contact information for essential personnel	Update and revise COOP Plan Implementation Checklist. Confirm and update essential personnel information.	Annually
Train new staff	Conduct COOP plan awareness training for new faculty and staff.	Within 30 days of hire
Orient new senior leadership	Brief senior leadership on existence and concepts of the COOP Basic plan and each department COOP plan. Brief senior leadership on their responsibilities under the COOP Basic plan and each department COOP plan.	Within 30 days of appointment
Plan and conduct exercises	Conduct internal COOP plan exercises. Conduct joint exercises among college or university divisions or with surrounding local governments.	Quarterly, semiannually, annually, or as needed

ANNEX A: OTHER COMMONWEALTH CONSIDERATIONS

Agency Risk Management and Internal Control Standards (ARMICS)

Office of the Comptroller's Directive 1-07

Required Implementation of Agency Risk Management and Internal Control Standards

ARMICS is intended to ensure fiscal accountability and safeguard the Commonwealth's assets. Under authority of the Code of Virginia §§ 2.2-800 and 2.2-803, ARMICS mandates the implementation and annual assessment of agency internal control systems in order to provide reasonable assurance of the integrity of all fiscal processes related to the submission of transactions to the Commonwealth's general ledger, submission of financial statement directive materials, compliance with laws and regulations, and stewardship over the Commonwealth's assets. This directive applies to all state offices, departments, boards, commissions, agencies, and penal, educational, and eleemosynary institutions maintained in whole or in part by the Commonwealth

Each agency head is responsible for having agency management document the agency's assessment of internal control strengths, weaknesses and risks over the recording of financial transactions in the general ledger, compliance with the agency's financial reporting requirements, compliance with laws and regulations and stewardship over the Commonwealth's assets. The assessment of internal controls and documentation must be conducted in accordance with the Commonwealth of Virginia's Agency Risk Management and Internal Control Standards.

For more information on implementing ARMICS, contact armics@doa.virginia.gov.

ANNEX B: WORKSHEETS

The use of the worksheets is not required. The worksheets are tools to help you gather the raw data needed to develop your COOP plan. You may modify them to fit the needs of your institution.

Worksheet #1: Essential Functions Description and Priority

Worksheet #2: Vital Records, Systems and Equipment

Worksheet #3: Vital Records, Systems and Equipment Protection Methods

Worksheet #4: Orders of Succession

Worksheet #5: Delegations of Authority

Worksheet #6: Summary of Resources Requirements for Essential Functions

Worksheet #7: Requirements for Alternate Facility Locations

Worksheet #8: Alternate Facility Locations Options

Worksheet #9: Modes of Communication

Worksheet #10: Personnel with NIMS Training

Worksheet #11: Personnel Contact List (Rapid Recall List)

Worksheet #12: Sample COOP Plan Implementation Procedures Checklist

Worksheet #13: Institutional Risk and Vulnerability Assessment

Worksheet #14: Facility Risk and Vulnerability Assessment

Worksheet #1: Essential Functions Description and Priority

List the functions identified by the COOP Team or institution. Briefly describe the function and why it is essential. Next, assign a priority number in column 3, giving lower numbers to those functions that need to be operable in the shortest amount of time. Additionally, more than one function may have comparable priority. Therefore, a department can assign the same priority number to multiple functions. The goal here is to determine which functions would need to be operating first in case resources are not available to enable all functions to be operating immediately. Finally, designate its recovery time objective (RTO) or the period of time in which the essential function must be recovered after an interruption.

Function	Description of Function	Priority	RTO

Worksheet #2: Vital Records, Systems and Equipment

List the vital records, systems and equipment that are necessary for the continued operation of essential functions for 30 days. Include the networks or servers that must be operational as well to support the equipment and systems. Records can be in electronic or paper form. If it is electronic, list the software used. Also, add the type – active, static or court.

Do not include records, systems or equipment that may be useful but are not essential to performing the service.

Essential Function	Vital Record	Equipment or Systems	Networks or Servers that must be Operational to Support the Critical System or Equipment	Description	Form and Type of Record or System	RTO
Paying employees	*Payroll Records*	*Computer; Pay-All software systems*	*Intel Network*	*Records are needed to pay employees*	*Electronic, Active*	*12 to 72 hours*

Worksheet #3: Vital Records, Systems and Equipment Protection Methods

For each vital record, system or equipment identified in Worksheet #2, list where the records are kept or where the equipment or systems reside; how often they are backed up, revised or maintained; and any particular methods of protection including security measures. Those vital records, systems or equipment that have no protection, other than back-up or duplicate copies, may be candidates for additional protection measures. In those cases, consider and recommend additional protection methods in the last column.

Vital Record, Systems and Equipment	Storage Location	Maintenance Frequency	Current Protection Method(s)	Recommendations for Additional Protection Method(s) (if necessary)

Worksheet #4: Orders of Succession

Designate the appropriate orders of succession for each essential function. In the first column list the essential function from Worksheet #1. In the second column list the position or person who is essential to performing the function. Then in the remaining columns, list the positions that would serve as successors if the key position or person is unavailable unexpectedly (e.g., illness, injury, sabbatical, special assignment, termination of employment, among others). The same successors may be named for different essential personnel, but avoid designating the same position or person as the first successor to several essential personnel. Be sure to include both the title of the position and the individual who fills the position in each box.

Essential Function	Essential personnel	Successor 1	Successor 2	Successor 3

Worksheet #5: Delegations of Authority

Identify the function and the type of authority being delegated. List the position currently holding the authority and who the authority will be delegated to. Then list the triggering conditions under which the authority would be delegated, the procedures to operate under and the limitations of the authority. The first row provides an example.

Authority (Function)	Type of Authority	Position Holding Authority	Delegation to Position	Triggering Conditions	Procedures	Limitations
Contracts	*Signing Authority*	*Dean*	*Associate Dean*	*Incumbent is unavailable or cannot be contacted for more than two hours*	*Detailed in department policy*	*Terminates when incumbent returns*

Worksheet #6: Summary of Resource Requirements for Essential Functions

Worksheet #6 summarizes the resource requirements for essential functions into a single worksheet. Using information gathered in Worksheets #1 through #4, fill in the appropriate column(s) in Worksheet #6 and add any relevant external contacts who may need to be informed of the function's or institution's status during a COOP event. This could include vendors, regulatory bodies or other stakeholders.

Essential Function	Essential Personnel and Back-up	Vendors and External Contacts	Vital Records	Equipment	Systems	RTO

Worksheet #7: Requirements for Alternate Facility Locations

Identify the requirements for an alternate facility location by department. An alternate facility location is a location, other than the normal facility, used to carry out essential functions in a COOP situation. Requirements include personnel, special needs, power, communication and space requirements.

Department	Number of Personnel	Special Needs	Power	Communication	Space Requirements

Worksheet #8: Alternate Facility Locations Options

Each department needs to identify two to three alternate facility locations. One location can be close to your current operations, not right next door, but within a short distance on campus. The second alternate facility location should be further away, either across campus or at a satellite campus. A third location should be up to 30 miles away.

Facility	Address	Agreement	Date Executed	Security	Secure Storage Available?	Special Notes

Worksheet #9: Modes of Communication

Identify communication modes that support essential functions, including any alternative providers and modes of communication. Communication systems already in place can be named as alternative modes for other modes of communication. For example, radios could be an alternative mode of communication for voice lines.

Communication System	Current Provider	Alternative Provider	Alternative Mode #1	Alternative Mode #2
Voice Lines				
Fax Lines				
Data Lines				
Cellular Phones				
Pagers				
E-Mail				
Internet Access				
Instant Messenger Services				
Blackberry and Other Personal Digital Assistants (PDAs)				
Radio Communication Systems				
Other				

Worksheet #10: Personnel with NIMS Training

	Entry-level First Responders (Unit/Task Force Leader)	First Line Supervisors (Division/ Group Supervisor)	Emergency Management and Response Personnel in Middle Management (Section Chiefs and Branch Director)	Emergency Management and Response Personnel in Command and General Staff (Incident Command & Command Staff)	Executive Level Management for Institutions
IS-700	[ ]	[ ]	[ ]	[ ]	[ ]
IS-800			[ ]	[ ]	
ICS-100	[ ]	[ ]	[ ]	[ ]	[ ]
ICS-200	[ ]	[ ]	[ ]	[ ]	[ ]
ICS-300			[ ]	[ ]	
ICS-400			[ ]	[ ]	

*Gray boxes are not applicable

Worksheet #11: Personnel Contact List (Rapid Recall List)

The Personnel Contact List is a short document with a cascade call list and other critical telephone numbers. The cascade list should include the COOP Team, essential personnel, department and emergency personnel, both inside and outside the department. If this information is available in another document, reference or insert the information here or into your plan.

Employee Cascade List	E-mail Address	Work #	Home #	Cellular or Pager #
Department Chair				
COOP Team				
• Employee A				
• Employee B				
• Employee C				
• Employee D				
• Employee E				
Essential Personnel and Management				
• Employee I				
• Employee J				
• Employee K				
• Employee L				
• Employee M				
Emergency Personnel	Telephone Number(s)			
Fire Department				
Police Department				
Ambulance and Emergency Medical Services				

State and Local Emergency Operations Center	
Employee Emergency Hotline	
Alternate Facility Contacts	

Worksheet #12: Sample COOP Plan Implementation Procedures Checklist

Item	Task	Task Assigned To	Date/Time Completed
Activation and Relocation			
1	Receive notification of emergency		
2	If necessary, conduct evacuation		
3	Conduct a headcount of personnel		
4	If necessary, contact Emergency Responders (Fire, Police, EMS)		
5	Ensure that safety measures are put into effect		
6	Contact Building Maintenance for shutting down utilities to limit further damage		
7	Direct and assist emergency personnel as required		
8	If necessary, invoke Orders of Succession		
9	Initiate personnel notification using Rapid Recall List		
10	Activate the department's Continuity of Operations Plan		
11	Hold department's response meeting at predetermined site		
12	Assemble supporting elements required for re-establishing and performing essential functions at alternate facility location: ■ Vital files, records and databases ■ Critical software ■ Critical equipment		
13	Assemble remaining documents required for performance of all other essential functions to be performed at the alternate facility location		
14	Initiate external communications for applicable external contacts		
15	Prepare designated communications and other equipment for relocation		
16	Take appropriate preventive measures to protect other communications and equipment that will not be relocated		

Item	Task	Task Assigned To	Date/Time Completed
17	Make computer connectivity and phone line transfers to designated alternate location		
18	Ensure go- kits are complete and ready for transfer		
19	Essential personnel begin movement to alternate location		
20	Develop detailed status of situation for senior leadership		
21	Notify remaining faculty and staff and appropriate departments for movement to alternate location		
Alternate Facility Operations			
22	Notify other departments, customers, state and surrounding jurisdictions that operations have shifted to alternate facility location		
23	Organize faculty and staff and account for non-essential personnel		
24	Develop shift rotations		
25	Determine which essential functions have been affected		
26	Develop status report		
27	Prioritize essential functions for restoration		
28	Track status and restoration efforts of all essential functions		
29	Administrative actions to assemble: ■ Onsite telephone ■ E-mail and telephone directory ■ Workforce office plan ■ Lodging and dining plan as appropriate		
30	Occupy workspace: ■ Stow gear and equipment ■ Vital files, records and databases ■ Test telephone, fax, e-mail, radio and other communications ■ Establish communications with		

Item	Task	Task Assigned To	Date/Time Completed
	essential support and office elements		
31	Ensure all critical equipment, critical software and vital files, records and databases are available at alternate facility location		
32	Coordinate procurement of additional equipment, as required		
Reconstitution			
33	Resume operations		
34	Appoint logistics manager		
35	Inventory and salvage useable equipment, materials, records and supplies from destroyed facility		
36	Survey condition of office building and determine feasibility of salvaging, restoring or returning to original offices when emergency subsides or is terminated		
37	Develop long term reconstitution and recovery plans		
38	Track status and restoration efforts of all essential functions		
39	Conduct transition of all functions, personnel and equipment from alternate location back to designated facility		
40	Determine loss of the department's inventory for insurance report		
41	Schedule initial review meeting with clients, public and vendors to do a briefing		
42	Develop and communicate a press release		

Worksheet #13: Institutional Risk and Vulnerability Assessment

This assessment is an evaluation of the institution's risks and vulnerabilities that have the potential for severe consequences in terms of property damage, business interruption, human injury or fatalities.

Risk: Probability/How likely is an event to occur? (H - within five years; M - within 25 years; L - within 50 years)

Vulnerability: How severe is the potential impact to the operations if it did occur?

(H - More that 25 percent of essential functions impacted; M – five percent to 25 percent of essential functions impacted; L - < five percent of essential functions impacted)

Department Risk Overview

Risk Overview	Risk Level	Vulnerability	Description or Comment
Departmental leader succession plans not in place	*H*	*H*	*Currently there are not succession plans in place for department leadership*
Inadequate alternate facility site recovery procedures			
Inadequate building and physical security			
Inadequate fire suppression equipment	*L*	*L*	*All facilities are equipped with fire suppression equipment*
Inadequate off-site storage of documents and files			
Inadequate record and file back-up procedures and record keeping			
Insufficient staffing or training			
Insufficient virus and hacker protection			
Key staff back-ups either not designated or not sufficiently cross-trained			
Lack of alternate voice and emergency communications networks			

Risk Overview	Risk Level	Vulnerability	Description or Comment
Lack of interoperability of emergency communications networks			
Neighboring threats (chemical, floods, trains, highways, etc.)			
No adequate alternate facility designated			
No alternate power sources for department location			
No secure or fire protected onsite storage of documents and files			
Single point of failure for equipment and/or networks			
Unsafe physical condition of department office/building			
Lack of procedures and testing for record and file recovery			

Worksheet #14: Facility Risk and Vulnerability Assessment

This assessment is an evaluation of your facility risks and vulnerabilities that have the potential for severe consequences in terms of property damage, business interruption, human injury or fatalities.

Note: This worksheet should be completed by the person responsible for facility maintenance either within the department or building. Institutions can refer to their existing Hazard Mitigation plans for additional facility risk and vulnerabilities that might have been identified.

Risk Level: H - applies at all times; M - applies only some of the time; L - rarely applies

Vulnerability: H - impact to the operations is great if the even did occur; M - impacts some of the operations but not all of the operations; L - minimal impact to critical operations

Facility Risk Overview – Air Conditioning

Risk Overview	Risk Y/N	Risk Level	Vulnerability	Description or Comment
Are air conditioning system and power supply separate from the rest of the facility?				
Is there back-up air conditioning available?				
Are switches easily accessible?				
Are air conditioning and emergency shutoff switches linked?				

Facility Risk Overview – Electricity and Telecommunications

Risk Overview	Risk Y/N	Risk Level	Vulnerability	Description or Comment
Are generators and transformers located in hazard prone areas, i.e. a basement that floods?				
Is there an emergency lighting system for facility?				
Is facility equipped				

Risk Overview	Risk Y/N	Risk Level	Vulnerability	Description or Comment
with power conditioning to protect against power surges?				
Are there back-up power sources available to facility? Please specify.				
Do alternate voice and data transmission services exist?				
Is there a shutdown checklist provided in case of emergency?				

Facility Risk Overview – Facility Access Control

Risk Overview	Risk Y/N	Risk Level	Vulnerability	Description or Comment
Are there procedures to guard against vandalism, sabotage and unauthorized intrusion? What?				
Are there windows that can be broken to gain access to facility?				
Are there procedures for personnel to handle unauthorized intruders?				
Are there procedures for personnel to handle bomb threats?				
Are there procedures for personnel to handle notification of local law enforcement?				
Are security devices				

Risk Overview	Risk Y/N	Risk Level	Vulnerability	Description or Comment
checked and tested on a regular basis?				
Does the proximity of loading ramps pose a threat to the facility?				
Does the proximity of cafeterias or workshops pose a threat to the facility?				
Does the proximity of storage areas pose a threat to the facility?				
Does the proximity of outside walls pose a threat to the facility?				
Does the proximity of power panels pose a threat to the facility?				
Does the proximity of heavy usage of electrical equipment pose a threat to the facility?				
Are there access controls during regular hours to facility?				
Are there access controls during off-hours to facility?				

Facility Risk Overview – Fire Exposure

Risk Overview	Risk Y/N	Risk Level	Vulnerability	Description or Comment
Are the areas surrounding the facility protected from fire? Please specify.				
Are the flooring and ceiling materials non-combustible?				
Can the walls in the facility resist the spread of fire?				
Can the doors in the facility resist the spread of fire?				
Can the partitions in the facility resist the spread of fire?				
Can the floors in the facility resist the spread of fire?				
Can the furniture in the facility resist the spread of fire?				
Can the window coverings in the facility resist the spread of fire?				
Does the facility have adequate automatic fire extinguishing systems?				
Are flammable or otherwise dangerous materials and activities prohibited from the facility and surrounding areas?				
Are paper and other supplies stored in				

Risk Overview	Risk Y/N	Risk Level	Vulnerability	Description or Comment
open areas in facility?				
Is there fire and smoke detection equipment in facility?				
Are portable fire extinguishers in suitable locations?				
Are clear and adequate fire instructions clearly posted?				
Is the fire department telephone number clearly posted?				
Are the fire alarm switches clearly visible, unobstructed and easily accessible at points of exit?				
Can the fire alarm be activated manually?				
Does the fire alarm sound inside the facility?				
Does the fire alarm sound outside the facility?				
Does the fire alarm sound at the fire station?				
Is there an emergency evacuation exit, different from the main entrance or exit?				
Is there an evacuation plan posted?				
Is there an adequate supply of materials (i.e., water, Halon,				

Risk Overview	Risk Y/N	Risk Level	Vulnerability	Description or Comment
CO2, FM200, etc.) for fire fighting?				
Does emergency power shut down the air conditioning?				
Is fire and smoke detection equipment checked and tested on a regular basis? How often?				
Can emergency crews easily gain access to the facility?				
Are fire drills held on a regular basis? How often?				

Facility Risk Overview – General Housekeeping

Risk Overview	Risk Y/N	Risk Level	Vulnerability	Description or Comment
Is the facility kept clean and orderly?				
Are food and beverages confined to a designated area?				
Is smoking banned in facility?				
Is there adequate lightning for all areas?				

Facility Risk Overview – Organization and Personnel

Risk Overview	Risk Y/N	Risk Level	Vulnerability	Description or Comment
Is staff responsible for facility security?				
Have recovery teams for facility been selected in the event of a disaster?				

Facility Risk Overview – Other Natural Disaster Exposures

Risk Overview	Risk Y/N	Risk Level	Vulnerability	Description or Comment
Are you aware of the wind tolerance of this facility? Please specify.				
Is this facility in or near a flood plain?				
Are flood mitigation procedures in place?				
Is all of the electrical equipment grounded for protection against lightning?				

Facility Risk Overview – Water Damage

Risk Overview	Risk Y/N	Risk Level	Vulnerability	Description or Comment
Are documents, records and equipment stored above ground and protected from flooding?				
Are lower facility rooms protected from leaks in overhead water pipes?				

Risk Overview	Risk Y/N	Risk Level	Vulnerability	Description or Comment
Is there protection against accumulated rainwater or leaks in the rooftop?				
Are floor level electrical junction boxes protected?				